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ABSTRACT

In addition to providing a detailed description of the method in which the Des Moines project operates, this handbook explores the key elements in a community-based corrections approach. It presents evaluation data, describes the experience of several communities which undertook to replicate this approach, and discusses the process by which other communities may explore the relevance of community-based corrections. The handbook has been designed to serve as a practical tool for professionals concerned about correctional alternatives and their impact on the quality of justice at the local level. Information is covered in seven chapters, with major emphasis placed on the third chapter: Summary of the Des Moines Community Corrections Program (chapter 1); Does the Des Moines Program Work? (chapter 2); A Close-Up Look at the Four Des Moines Components--How to Do It (chapter 3); The Des Moines Community Corrections Philosophy (chapter 4); The "Universe" of Corrections Programs (chapter 5); Replication--How Have Other Communities Done It? (chapter 6); and Replication--Next Steps (chapter 7). The appendix includes forms and legislation used in the Des Moines program. (HD)

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AN EXEMPLARY PROJECT

COMMUNITY-BASED CORRECTIONS IN DES MOINES

By

David Boorkman
Ernest J. Fazio, Jr.
Noel Day
David Weinstein

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
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Gerald M. Caplan, *Director*

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In 1973, the Des Moines, Iowa, Community-Based Corrections Program was named an Exemplary Project by the National Institute of Law Enforcement and Criminal Justice, the first of 17 local programs to merit that distinction.

Exemplary Projects are nominated through the LEAA regional offices and the state planning agencies and are examined by an independent evaluator to verify their:

- Overall effectiveness in reducing crime or improving criminal justice
- Adaptability to other jurisdictions
- Objective evidence of achievement
- Demonstrated cost effectiveness

Validation results are then submitted to the Exemplary Project Advisory Board, made up of LEAA and state planning agency officials, which makes the final decision.

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FOREWORD

In criminal justice, as in other areas, the economical way is sometimes the more effective way. The Des Moines Community-based Corrections program has achieved substantial economies while improving the delivery of corrections services. The result benefits the offender and the community: evaluation of the program shows fewer repeat offenses by participants in the program.

The Des Moines approach offers a promising alternative to the more costly, traditional emphasis on prisons. By pulling together four tested correctional programs—pre-trial release, supervised release, probation/pre-sentence investigation, and a community-based corrections facility—and carefully screening offenders, the Des Moines model has logged an impressive record of success and cost-effectiveness that earned it the National Institute's exemplary label.

The background and operations of the Des Moines program are described in this handbook. I hope this information will stimulate other communities to take a fresh look at their procedures and find new ways to improve correctional services.

Gerald M. Caplan
Director
National Institute of Law
Enforcement and Criminal Justice
July 1976

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INTRODUCTION

The Des Moines Community Corrections project was the first program designated "exemplary" by the National Institute of Law Enforcement and Criminal Justice. As part of its strategy of disseminating information about exemplary projects, NILECJ sponsored a series of regional training conferences on the Des Moines project in 1974–75. Nearly 500 criminal justice system professionals attended those conferences.

In addition to providing a detailed description of the method in which the project operates, this handbook also explores the key elements in a community-based corrections approach. It presents evaluation data on the Des Moines project, describes the experience of several communities which undertook to replicate the Des Moines approach, and discusses the process by which other communities may explore the relevance of community-based corrections in meeting the needs of their local criminal justice system.

Thus, this handbook has been designed to serve as a practical tool for professionals concerned about correctional alternatives and their impact on the quality of justice at the local level.

For further information concerning the Des Moines Community Corrections Program, contact:

Urban and Rural Systems Associates (URSA)
Pier 1½, San Francisco, California 94111
(415) 398-2040

or:
Fifth Judicial District Department
of Court Services
Administrative Office
610 College
Des Moines, Iowa 50314

CHAPTER I. SUMMARY OF THE DES MOINES COMMUNITY CORRECTIONS PROGRAM

The first chapter of this manual summarizes the four components of the Des Moines Community Corrections program and identifies the program's basic approach. A more detailed description of the structure, policies and procedures of each of the four Des Moines components is presented in Chapter III.

A comprehensive, community-based corrections program—commonly called "the Des Moines program"—was organized into a single administrative unit, the Fifth Judicial District Department of Court Services, by resolution of the Polk County (Iowa) Board of Supervisors in January 1971. The Department of Court Services administers four separate corrections programs, two of which were in operation prior to the Department's creation and two which have been added since. Each of the components of the Des Moines program has had a significant impact on the criminal justice system of the Fifth Judicial District, and the combination of the four components within a single administrative unit has produced a unique experiment in the coordination of community corrections. Because of its novelty and success, the Des Moines Community Corrections program was the first criminal justice project in the United States to be designated "exemplary" by the National Institute of Law Enforcement and Criminal Justice.

The four components of the Des Moines program provide correctional services to defendants and convicted offenders at different points in the criminal justice process. Two of the components provide services at the pre-trial stage, and two respond to the needs of post-trial offenders. The four components of the Des Moines Community Corrections program are:

- Pre-Trial Release (ROR)
- Supervised Release
- Probation/Pre-sentence Investigation
- Community Correctional Facility

A. Pre-Trial Release (ROR)

The Des Moines Community Corrections program is based on the recognition that the overwhelming majority of persons who penetrate to the last step of the criminal justice system—corrections—come from the uneducated, the unskilled, and the least affluent segments of the population. The first obstacle which such persons face occurs immediately following arrest. A defendant who is poor typically remains in jail prior to trial, despite the presumption of innocence, because he is unable to raise money for bond or bail. Because he is jailed prior to trial, he is less able to participate in his own defense and is, therefore, more likely to be convicted. If convicted, he is more likely to be incarcerated because he has been unable to demonstrate a post-arrest ability to behave in a constructive manner. In addition, pre-trial incarceration may result in the loss of the defendant's job, and may cause severe financial strains on his family.

The pre-trial release component of the Des Moines program is modeled on the Vera-Manhattan Bail Reform Project. It is a typical release-on-own-recognizance program. The staff of the pre-trial release component is housed in the Municipal Court Building, site of the city jail and the Des Moines Police Department. Every defendant booked into the jail is interviewed immediately after processing. (Persons charged with simple intoxication are excluded, principally because their cases are disposed of almost immediately.) The pre-trial release staff interviews the defendant to determine if he meets the criteria for release on his own recognizance. The release criteria are totally objective, and a point system is used to gauge the degree to which the defendant has stable roots in the community. Points are earned for length of residence in a particular location, stability of employment, and the presence of family ties. Points are lost as a result of the frequency and the recency of prior convictions, and because of past incidents of failure to appear for trial. If a defendant scores a total of five points, the

staff recommends to the court that he be releas on his own recognizance.

B. Supervised Release

For those defendants who do not qualify for ROR, the options in most communities are typically stark. If the defendant is unable to secure a bond or post bail, he must usually remain in jail pending trial. In Des Moines, however, there is another option. The supervised release component, perhaps the most innovative element of the Des Moines program, involves a form of "pre-trial probation". Indeed, one of the explicit goals of the supervised release component is to assist selected defendants to become qualified for probation as a final disposition in the event of conviction.

Defendants who fail to score a sufficient number of points to qualify for release on their own recognizance, but who might be qualified for supervised release, are referred to the supervised release screening staff by ROR interviewers. A member of the supervised release staff then interviews the defendant. Unlike the ROR interview, however, the supervised release interview is open-ended and the decision as to whether the defendant qualifies for entry into the component is subjective.

Since this component has the clearly defined goal of preparing releasees for probation, the emphasis is on the client's disabilities and the task is to assist the client in solving very specific and practical problems. This approach begins during the selection process, where, contrary to general practice, the incarcerated defendant is evaluated largely on the basis of the negative aspects of his position. That is, the disabilities which mitigate against his being granted probation are identified and a judgment is made as to the likelihood that the staff can assist the defendant to overcome those disabilities. If the defendant is unemployed, that fact mitigates against probation. Thus, helping the defendant to find a job becomes part of his "treatment" program. If a contributing factor to unemployment is an inadequate educational background, remedial education becomes part of the treatment program.

If the supervised release staff believes that the specific disabilities of the defendant can be overcome in a carefully structured program of supervision, counseling, and treatment, and the interviewer feels that the defendant is willing to participate actively in such supervision, the defendant is recommended for release into the custody of the supervised release staff. If the court approves the release, the defendant is assigned a counselor; is given a psychological, vocational, and educational evaluation, and a specific treatment plan is developed with the defendant. Treatment typically involves job development assistance, and the defendant's participation in vocational and educational programs, marital and psychological counseling, or alcohol or drug abuse programs.

C. Probation/Pre-sentence Investigation

Although the probation component is the most traditional element in the Des Moines program, the consolidation of correctional programs in the Department of Court Services has made probation an important link in the chain of services provided to defendants and convicted offenders. Formerly, if granted probation, the convicted offender was transferred to the probationary supervision of the State Bureau of Adult Corrections. However, the probation function developed as a county responsibility in Polk County during the late 1960s, largely as a result of the increased utilization by the courts of probationary dispositions for indictable misdemeanor convictions. In 1971, responsibility for full probation supervision of felons and misdemeanants alike was transferred to the new Department of Court Services.

Probation officers in the Des Moines program are housed in the same building used by the supervised release staff. This physical proximity is also matched by a close working relationship between the staffs of the two components. Since supervised release is aimed in part at helping defendants build a "track record" which will qualify them for probation if they are convicted, the probation effort is structured so as to continue the treatment and counseling objectives of supervised release. Although the goal of the probation component is more generalized—to help the client to lead a law abiding life—the major thrust of the probation unit continues to be problem-solving rather than surveillance and control.

Two basic functions are performed in the probation component: pre-sentence investigation and probation supervision. As in other jurisdictions, the purpose of the pre-sentence investigation function is to provide data which will aid the court in determining an appropriate sentence for the convicted offender and to assist institutional and/or community supervision staff in developing an appropriate correctional plan for the offender. In Des Moines, presentence investigations typically are conducted within a period of two to four weeks, and a report is submitted to the court which presents objective and

attitudinal data about the offender and contains recommendations as to which of the six basic sentencing options seems most appropriate for the offender: 1) a deferred sentence, 2) a suspended sentence, 3) probation, 4) commitment to a community correctional facility, 5) commitment to county jail, or 6) commitment to state prison.

In the case of offenders assigned to probation supervision, a probation officer and the client develop a probation contract. Typically, this contract will be based on the client's earlier treatment plan if he participated in the supervised release component prior to conviction, and will emphasize realistic steps which the client can take to address practical problems.

D. Community Correctional Facility

The fourth component of the Des Moines program is a community-based correctional facility for men (the fourth component also includes a small women's facility). The men's facility is a 50-bed, non-secure institution which is housed in a renovated barracks at Fort Des Moines, a partially-deactivated Army base at the edge of the Des Moines city limits. The Fort Des Moines facility was originally developed in 1971 as one way of easing the chronic overcrowding which had led to the repeated condemnation of the Polk County jail. However, Fort Des Moines now serves more felons than misdemeanants, and thus eases the burden on the state prison system as well.

Although Fort Des Moines is occasionally used for offenders on the way out of prison, it is not a conventional half-way house. Rather, it is, by statute, a jail and is used primarily to house sentenced offenders for the entire duration of their sentence. As in the supervised release and probation components, the emphasis at Fort Des Moines is on a problem-solving approach to the needs of each client. Based on an extremely low client/counselor ratio (there is approximately one staff person for every two clients), the facility features intensive interaction between clients and staff. After a client enters the facility, he is evaluated, a treatment plan is developed, and a performance contract is signed. Each Fort Des Moines client is expected to work while committed to the facility, and the staff includes a three-man job development unit.

The Fort Des Moines facility emphasizes helping the client within a community setting. Clients work at jobs in the community and are referred for services to community agencies (for educational programs, family and marital counseling, health care, vocational training, psychiatric counseling, etc.). As clients increase their employment or educational achievement, they become qualified for rewards which include overnight or weekend furloughs.

Although physical security devices are minimal at the Fort—there are no bars or fences—both the number of staff present and the use of informal observation techniques diminish security problems. In addition, the local police and sheriff's departments receive a weekly listing of Fort Des Moines residents which indicates where each resident is to be at specified hours of each day. This information is available to patrol officers who may see a Fort Des Moines inmate in the community.

Other program procedures also fulfill a control function. Because of the location of Fort Des Moines and the inadequacy of local public transportation, the facility also has its own vans which are used to transport residents of the Fort to and from work.

E. The Des Moines Program Components—Are They New?

Although the Des Moines program has received a lot of attention and has been declared an "exemplary" program by the National Institute of Law Enforcement and Criminal Justice, what's new about the four Des Moines components? Not much, really. Most of the components have been discussed for many years, and most communities have at least one of them. Pre-trial release (ROR), for example, was first developed in New York more than ten years ago as the Vera-Manhattan Bail Reform Project. After the Vera project proved successful, many communities throughout the country incorporated a form of ROR into their own local criminal justice system. Probation has been around even longer, and nearly every jurisdiction has some form of probation program available for convicted offenders. Other communities have also experimented with community correctional facilities, and although Fort Des Moines has developed a number of original approaches, the basic idea is not really new. Of all the four components, the supervised release element is the most innovative but even in this area other jurisdictions have experimented with methods of providing pre-trial supervision as a condition of release.

In addition, there are many innovative correctional programs which are not available in Des Moines. Chapter V of this handbook briefly de-

scribes at least a portion of the "universe" of corrections programs which have been tried in various jurisdictions. Many of these programs—e.g., citation release and deferred prosecution—are not part of the Des Moines system but have become standard elements in other criminal justice systems.

What *is* new is the way in which the four Des Moines components have been pulled together under a single administrative agency—the Department of Court Services. The Des Moines program is based, in large part, on *coordination*. Coordination is a concept that is talked about often, but seldom accomplished. But in Des Moines, coordination happens. And both the Des Moines staff and the National Institute believe that it's the coordination underlying the Des Moines approach that has made the program so successful.

The Des Moines program is coordinated in two basic ways: administratively and functionally. The program is administratively coordinated by its very structure. (An organizational chart of the Des Moines project may be found in Chapter IV of this handbook, along with a more detailed discussion of the role which coordination plays in the program.) The Department of Court Services is the administrative unit responsible for all four of the Des Moines components. By having a single administrative focal point, the Des Moines program unites four solid correctional components into an integrated whole and provides a unified structure for additional components which may be added in the future. It avoids the overlapping responsibilities which often fragment the delivery of correctional services in other jurisdictions.

In addition, the Des Moines program features functional coordination. The process by which each of the four components provides correctional services is coordinated with the procedures of the other components as well. Information sharing techniques and other methods are used to shape the program's components into a continuum, so that correctional services are provided to persons involved in different stages of the criminal justice process. This functional coordination enables the program to serve very different types of accused and convicted offenders—from providing simple pre-trial release for low-risk, relatively stable defendants to providing intensive counseling, supervision, and treatment services to high-risk defendants or convicted offenders who may lack even the most basic elements of self-respect and self-discipline.

No one claims that the Des Moines program is a panacea for the correctional problems of any or all communities. Nor does it embody all of the correctional programs that have proven successful in other jurisdictions. But it does represent a careful attempt to pull four tested correctional components together into a well-structured administrative unit. It provides one effective model for organizing a number of correctional programs, a model to which new components can easily be added.

The purpose of studying the Des Moines program, then, is not to suggest that it should be precisely duplicated by other communities. The correctional needs and problems of other communities are too varied for that to work. Instead, the Des Moines program is described in this handbook as an experience from which other communities can learn. By studying the Des Moines approach, it is hoped that other communities will also take a fresh look at their criminal justice system and find new ways to upgrade the quality of correctional services.

CHAPTER II. DOES THE DES MOINES PROGRAM WORK?

Before looking at the Des Moines program in greater detail, it makes sense to ask: does it work? What are the costs of the program developed in Des Moines, and what benefits has it achieved? Chapter II identifies some of the costs and benefits associated with the program. In addition to describing some costs and benefits which are difficult to quantify, it summarizes the results of a major evaluation of the Des Moines program which was conducted by the Research Center of the National Council on Crime and Delinquency (NCCD) in 1974.

A. Program Costs

In any field as complex as corrections, it is always easier to measure costs than benefits. Correctional programs are expensive, and the dollar costs associated with them are often high. Benefits, on the other hand—even dollar benefits—are more difficult to trace and to measure. Nonetheless, this chapter of the handbook will attempt to describe both costs and benefits involved in the Des Moines Community Corrections program.

One of the major cost implications of the Des Moines program is its emphasis on client "treatment" and problem-solving. This approach requires the program to have a large counseling staff to evaluate the individual problems of program clients and to work with the clients in developing individualized treatment plans. And, once a plan has been developed with a client, counselors are needed to monitor the client's progress in trying to carry out that plan. Much of the success of the Des Moines program has been attributable to the fact that, in most components, the ratio of clients to counselors has been kept low. But, just as this approach seems to be effective, it is also expensive.

The total cost of the four components of the Des Moines program is approximately $766,000. Table 1 indicates the relative cost of each of the four program components.

As the table indicates, the most expensive components of the Des Moines program are those which are treatment-oriented: supervised release, probation, and the community correctional facility.

TABLE 1

Cost of Des Moines Program Components*

Component	Annual Cost
Pre-Trial Release	$ 58,756
Supervised Release	157,792
Probation**	161,551
Fort Des Moines	387,909
Total	$766,008

* Costs of the four components from January 1-December 31, 1973. Total does not include the cost of the women's residential facility and of two regional offices in other counties of the Fifth Judicial District.

** Probation costs include both the pre-sentence investigation and probation supervision functions.

The pre-trial release (ROR) component screens defendants and recommends to the court which ones meet the established criteria and should be released on their own recognizance before trial. The program does not provide counseling or other treatment-oriented services to such defendants, and, as a result, the costs of the ROR component are far less than those of the other three components—both in absolute terms and in per client costs. And although probation supervision does involve counseling, the fact that caseloads are higher in probation (approximately 55–65 clients for each counselor) than in supervised release (approximately 20–25 clients per counselor) or at the community correctional facility (approximately two clients per staff member) makes probation cheaper. (The probation cost indicated in Table 1 includes PSI costs as well as supervision. In terms of supervision alone, probation is less expensive than supervised release.)

In addition to dollar costs, however, there are other less quantifiable costs which are always involved in the development of a new program: organizational costs. In the case of a program which attempts to change the basic structure of correctional service delivery, these costs can be significant. At the most basic level, organizational costs may include "turf disputes"—opposition or constraints to the program caused by agencies or officials whose "turf", or operational jurisdiction, is threatened by the program. Any new program changes the structure by which services are pro-

vided, and structural changes often entail changes in the levels of political or bureaucratic power. Anyone who has tried to do something in a new way has encountered the institutional or individual inertia that can often impede what appears to be a rational change. And when changes are made, the sense that someone's turf has been encroached upon may lead to program costs which cannot be measured in dollars.

In addition, a program like the Des Moines project, which is grounded in a clear correctional philosophy, may also encounter organizational costs which occur because others involved in the correctional process do not share the program's philosophy. The Des Moines project was developed gradually, and the initial lack of competing correctional programs made it easier to introduce changes (since there was less organized turf to disrupt), but the program did encounter several types of organizational constraints:

- Although the concept of release on the defendant's own recognizance is not new, the pre-trial release component did encounter some opposition from policemen who objected to the quick release of those arrested. Some officers complained that the defendant was back on the streets before the policeman (who was required to write a report of the arrest). And in some cases this was true.
- The Iowa State Bureau of Adult Corrections had responsibility for conducting pre-sentence investigations and supervising felony probationers prior to the creation of the Des Moines program. As the program expanded, it absorbed the probationary functions performed by the Bureau, leading to some "turf-related" disputes.
- The community-based nature of the Fort Des Moines facility led to some early conflicts with the local police and sheriff's departments. Officers would see a person whom they had arrested and who had been convicted and sentenced to jail (Fort Des Moines is technicaily a jail) out on the streets. This led to the re-arrest of some Fort Des Moines clients, and to a basic philosophical conflict between the program staff and clients (who felt that Fort Des Moines residents were being harassed unfairly by the police) and law enforcement officers (who felt that the Fort Des Moines facility was a "country club" rather than a jail). The conflict was resolved by providing local law enforcement agencies with a weekly list of where and when Fort Des Moines residents were to be in the community, but the philosophical objections of some law enforcement officers to the program continue to some extent.

B. Program Effectiveness

Any attempt to gauge the benefits of the Des Moines Program must be based on an analysis of the program's effectiveness in achieving its stated objectives. Although the specific objectives of the Des Moines program vary among the components, the program as a whole had a set of four hierarchical objectives, ranging from the "immediate" to the "ultimate":

- *Immediate Objective:* To protect the community from additional crime during the pre-trial or correction period. (This objective is referred to as "Community Safety" in the evaluation.)
- *Enabling Objective:* To utilize community resources to the maximum extent possible. (This objective is referred to as "Resource Utilization" in the evaluation.)
- *Intermediate Objective:* To integrate the offender into society. (This objective is referred to as "Social Effectiveness" in the evaluation.)
- *Ultimate Objective:* To assure that the accused appears for trial (pre-trial objective) and to reduce future criminal behavior (post-trial objective). (This objective is referred to as "Correctional Effectiveness" for the post-trial components.)

The Des Moines program has been evaluated several times, most comprehensively in February 1974. The evaluation of the program was conducted by the Research Center of the National Council on Crime and Delinquency. Following the definition of program objectives, data covering January–November 1973 was gathered and analyzed. The four objectives described above were measured in a number of different ways:

- *Community Safety:* Community safety was measured by the number of new alleged offenses committed by program clients during their period of assignment to each program component.
- *Resource Utilization:* This objective was measured by the degree to which each

component utilized existing community resources and was complemented by other community programs. Pre-trial release, however, was not measured against this objective since it provides no community services to its clients.

- *Social Effectiveness:* The integration of the offender into society was measured primarily by employment rates, occupational levels, and educational attainment during a client's participation in a particular component. Once again, pre-trial release was not measured against this objective, since it is not concerned with providing services to its clients.
- *Long Range Objectives:*

For Pre-Trial Programs:

- Appearance for Trial
- Conviction Rate
- Incarceration Rate

The ultimate objective of the pre-trial components is to assure that their clients appear for trial and attend all their court appearances. Thus, appearance rate is the primary criterion against which the success of the pre-trial components was measured. However, the ability of the two pre-trial components to screen out criminals and predict individuals who will be neither convicted nor incarcerated is also an objective. Thus, each component's conviction rate (the proportion of adjudicated persons in each component who are convicted) and incarceration rate (the proportion of convicted persons in each component who are eventually incarcerated) were determined. These rates were then compared with the conviction and incarceration rates for those persons who are detained prior to trial in jail and for those persons who are released after posting bail.

For Post-Conviction Programs:

- Reducing Future Criminal Behavior

The reduction of future criminal behavior (the lowering of the recidivism rate) is the ultimate objective of both the probation and community correctional facility components. The primary measurement of this objective was the number of alleged new offenses committed by persons who were terminated from each post-conviction component. New offenses include felonies, indictable misdemeanors, and non-indictable misdemeanors.

In general, the objectives of the four components reflect the competing goals of community safety and treatment. Obviously, community safety can best be achieved by isolating potential and convicted criminals from the rest of society and placing them in secure prisons or jails. On the other hand, treatment is considered to be a necessary ingredient in the prevention of future criminal activity, and thus correctional programs should provide for the reintegration of the offender into society. But effective social reintegration necessarily means the loss of some community safety. Though a trade-off does exist between these two competing goals, all four components of the Des Moines project are designed to treat the offender without permitting an intolerable increase in criminal activity.

Over and above the program objectives described above, each component must also be evaluated in terms of financial effectiveness. Even if a particular component does in fact achieve all of its stated goals, the costs of operating the program might not justify its benefits. Each component must therefore be evaluated in terms of its cost (either on a per day basis or per average-length-of-program basis) and then compared with the cost of alternative programs. Furthermore, the four components do not operate in a vacuum; to the extent that offenders and potential offenders are channeled into one of the four components, fewer resources need be expended in operating the Polk County Jail, the state prison, and other correctional institutions. Thus, the cost of operating all four Des Moines components must be compared with the increased cost of operating other state, county and local correctional programs were there no Des Moines project.

Finally, the financial benefits of the Des Moines project can not be completely analyzed unless one takes into account both the wages earned by clients in the various programs and also the money saved which otherwise would have been spent in the purchase of bail bonds. If there were no pre-trial release and supervised release components, many clients would not be able to post bail, would therefore be detained in jail prior to trial and would thus be deprived of the ability to earn income. Similarly, most of the clients in Fort Des Moines, had they been incarcerated in the Polk County jail or a state institution, would also have been prevented from earning any wages after their conviction. And, if there were no pre-trial programs, large sums of money would have been spent by clients who were forced to purchase bail bonds in order to gain release prior to trial.

C. Pre-Trial Release (ROR)

1. *Community safety.* The February 1974 evaluation of the Des Moines project analyzed the records of 633 clients who were released on their own recognizance and later adjudicated before the data collection period ended. The number and rate of alleged new offenses committed by these clients were then compared with the similar figures for clients released to the supervised release program and for clients released on bail during the same period. Table 2 indicates the results.

TABLE 2

Alleged New Offenses Committed During Pre-Trial Period

	New Offense	No New Offense	Total
Pre-Trial Release	50 (7.9%)	583	633
Bail	26 (8.8%)	268	294
Supervised Release	45 (16.8%)	223	268

As the table indicates, the pre-trial release component was successful in meeting its objective of maintaining public safety. The new offense rate for pre-trial release clients was slightly lower than the rate for persons released on bail and significantly lower than that for persons released to the supervised release program.

An earlier evaluation of the pre-trial release program, summarizing the results of the program from its inception in 1964 through 1969, compared the new offense rate for persons released on their own recognizance with the rate for persons released on bail. The result was similar to that reached in the February 1974 evaluation. Specifically, only 6.45% of those persons who were released on their own recognizance and later adjudicated during the period of evaluation were alleged to have committed a new offense during their pre-trial period (89 out of 1379). On the other hand, 10.83% of all persons released on bail committed new offenses prior to their adjudications (46 out of 426).

2. *Appearance rate:* The 1974 evaluation compared the number of persons who were released on their own recognizance and who failed to appear for adjudication with the number for both the supervised release component and for those who were released on bail. The results appear in Table 3.

TABLE 3

Appearance Rates for Pre-Trial Groups

	Appeared	Failed to Appear	Total
Pre-Trial Release	625	8 (1.3%)	633
Bail	274	20 (6.8%)	294
Supervised Release	254	14 (5.2%)	268

As indicated in Table 3, the failure-to-appear rate for pre-trial releasees was lower than the rate for those released on bail and lower than the rate for those released to the supervised release program.

The success of pre-trial release in achieving a low failure-to-appear rate was also demonstrated in the earlier 1964–1969 evaluation. This evaluation found that the failure-to-appear rate for clients in the pre-trial release program was 1.68%, while the comparable rate for those released on bail was higher, 3.2%.

3. *Conviction rate.* The 1974 evaluation compared the conviction rate for those released to the pre-trial release component with the comparable rates for those released to the supervised release component, for those released on bail, and for those detained in jail prior to trial. The conviction rate was defined as the percent of adjudicated persons who were convicted of at least one offense. The results (as displayed in Table 4, below) indicate that, although the highest conviction rate was for pre-trial releasees, there was no significant difference among any of the four categories.

TABLE 4

Conviction Rates for Pre-Trial Groups

	Convicted	Not Convicted	Total
Pre-Trial Release	419 (66.2%)	214	633
Bail	179 (60.9%)	115	294
Supervised Release	157 (58.6%)	111	268
Jail	97 (62.2%)	59	156

The earlier, 1964–1969 evaluation compared the conviction rate of pre-trial release with the comparable rate for those released on bail. In that study, the pre-trial release rate was actually lower (50.3%) than the bail rate (72.1%).

4. *Incarceration rate.* The 1974 evaluation indicated that only 4.3% of those persons released on their own recognizance and later convicted were eventually incarcerated. This incarceration rate was

far lower than the comparable rate for convicted persons who had previously been released to the supervised release component, released on bail, or detained in jail prior to trial. Table 5 displays the relative rates.

TABLE 5

Incarceration Rates for Convicted Persons

	Incarcerated	Not Incarcerated	Total
Pre-Trial Release	18 (4.3%)	401	419
Bail	25 (13.9%)	154	179
Supervised Release	37 (23.6%)	120	157
Jail	59 (60.8%)	38	97

As indicated in Table 5, the incarceration rates for persons who were released prior to trial (pre-trial release, supervised release and bail) were significantly lower than the rate for those persons detained in jail prior to trial. Although there may be many reasons for this substantial disparity in rates, one possible explanation is that pre-trial detention in and of itself is a factor which influences judges to incarcerate a convicted defendant.

D. Supervised Release

1. *Community safety.* As indicated above in Table 2, 16.8% of all persons who were released to the supervised release component and who were adjudicated prior to the termination of the data collection period were alleged to have committed new offenses during their pre-trial period. This new offense rate was higher than the new offense rate for pre-trial releasees and for bail releasees.

Although supervised release cannot, therefore, be adjudged completely successful in meeting the community safety objective, it should be noted that over 40% of the new offenses allegedly committed by the supervised release group were committed by persons who either were initially rejected by the supervised release program or whose participation in bail release or pre-trial release was subsequently revoked. This fact indicates that initial judgments made in either rejecting clients or revoking their previous release status are generally better than subsequent decisions. If the initial judgments had been followed, the supervised release program would have achieved a far better community safety record.

The results of the more limited earlier evaluation, which was completed in May 1973 but which utilized different criteria and objectives than the February 1974 evaluation, generally support the results detailed in Table 2. The May 1973 evaluation showed that the new offense rate for clients released to the supervised release component was 23.3%, while the new offense rate for bail releasees was slightly lower (20.7%). But those defendants rejected by the project but later released on bail had a significantly higher re-arrest rate (34.4%).

2. *Resource utilization.* The February 1974 evaluation revealed that the level and variety of utilization of community resources were extremely high for the supervised release component. During the 1973 data collection period, 415 community services were utilized by 269 clients; these services were focused primarily in the areas of psychological evaluation and treatment, employment, and vocational upgrading, and education. These 415 services were provided by 42 outside community agencies.

3. *Social effectiveness.* The February 1974 evaluation indicated that the supervised release program measurably increased the extent to which its clients functioned productively and lawfully within society. New educational diplomas or degrees were received by 6.4% of all clients for whom data was available during their period of assignment to the component. Moreover, while only 50% of the program's clients were employed at the time of arrest, 80.3% were employed during their period of assignment to supervised release. Finally, the average client earned $1,433 in wages during his period of assignment.

4. *Appearance rate.* As indicated in Table 3 above, supervised release was successful in achieving a low failure-to-appear rate. Only 5.2% of all persons assigned to the program failed to make their court appearances. Although this rate was higher than the rate for pre-trial release, it was lower than the failure-to-appear rate for bail releasees (6.8%).

The earlier evaluation of supervised release, which was completed in May 1973, corroborates the results listed in Table 3. That evaluation showed that the failure-to-appear rate for persons released to the supervised release component (1.8%) was approximately the same as the rate for those released on bail (1.1%). (Recent increases in failure-to-appear rates reflect an upgrading of data collection techniques.)

5. *Conviction rate.* As indicated in Table 4, the supervised release program was effectively able to screen out some persons who were eventually convicted. The conviction rate for persons assigned

to supervised release and subsequently adjudicated was actually slightly lower (58.6%) than the conviction rate for those assigned to pre-trial release (66.2%), for those released on bail (60.9%), and for those detained in jail prior to trial (62.2%).

Once again, the earlier evaluation of supervised release that was completed in May 1973 contained similar findings. The conviction rate for persons assigned to supervised release and later adjudicated was very slightly lower (63.8%) than the conviction rate both for persons released on bail (64.0%) and for persons detained in jail prior to trial (71.4%).

6. *Incarceration rate.* As indicated in Table 5, the results of the February 1974 evaluation showed that 23.6% of the clients who had been assigned to the supervised release component and later convicted were eventually incarcerated. This incarceration rate is significantly higher than the incarceration rate for pre-trial releasees (4.3%) and bail releasees (13.9%). However, one must bear in mind that supervised release is a program designed for "higher-risk" defendants who do not qualify for pre-trial release. Thus, it is logical that the incarceration rate for supervised releasees is fairly high. Further, as Table 5 indicates, the incarceration rate for supervised release is far below the rate for those detained prior to trial in jail (60.8%). As mentioned above, the extremely high incarceration rate for those detained in jail prior to trial indicates that pre-trial detention may itself be a factor which influences judges to incarcerate a convicted defendant. Thus, supervised release, by freeing a person prior to trial and letting him build a "track record", may reduce the sentencing inequities which result when a person awaiting trial is incarcerated.

The earlier evaluation of May 1973 reinforces the results of Table 5. In this earlier evaluation period, the incarceration rate for those assigned to supervised release (18.9%) was far below the rate for those detained in jail prior to trial (37.5%), but was higher than the rate for those released on bail (9.9%).

E. Probation

1. *Community safety.* The February 1974 evaluation analyzed 232 clients who were released from probation during the evaluation period of 1973. During this period, 31.5% of these clients allegedly committed new offenses. Over one-third of these alleged offenses were felonies.

This number of alleged new offenses (73) is high, and it indicates that the probation program was not completely effective in meeting its community safety objective. However, it should be noted that a majority of the clients assigned to probation had been convicted of felonies, and, further, that these clients had contact with their supervising probation officers for only a short period of time. Because the opportunity to commit criminal offenses is significantly greater for probation clients than for clients of more restrictive correctional programs, it is not surprising that the new offense rate for probation was so high.

2. *Resource utilization.* One of the primary features of community-based corrections programs is the greater use of existing community resources which such programs permit. The probation program was extremely successful in placing its clients in educational, vocational, treatment, and counseling services.

One hundred and twenty or 52% of all persons terminated from the probation component during the evaluation period received one or more community services. A total of 305 services were provided by 50 different agencies and programs. Approximately one-third of the services were work-related (employment or vocational), and another one-third involved counseling or psychological, drug, or alcohol treatment.

3. *Social effectiveness.* As indicated above, social effectiveness measures the successful integration of a client into the community and is measured primarily by means of examining the employment and educational achievement of the client while on probation. Clients whose probation is revoked or who are transferred to more restrictive correctional programs cannot be considered to have been successful in functioning legally and productively within society. Thus, the social effectiveness of the probation program was determined by comparing the pre-assignment and post-termination educational and employment characteristics of clients who were favorably terminated from probation.

A limited amount of educational upgrading occurred for the 169 clients who were favorably terminated from probation during the evaluation period. Twenty-two service referrals were made to educational programs, and 16 new diplomas or degrees were received by these successful probation clients.

Increases in employment and occupational levels were more dramatic. The employment rate increased among program clients from 67% at the time of assignment to 83% at the time of termination. Moreover, a significant shift occurred in the movement of workers from unskilled occupational categories into the semi-skilled and skilled cate-

gories. Between the time of assignment and time of termination, the number of semi-skilled workers increased 68% and the number of skilled workers 43%.

4. *Correctional effectiveness.* The ultimate objective of the probation component is to release to society clients who will commit no additional criminal acts. Thus, correctional effectiveness was measured by identifying new offenses committed by clients after they were terminated from the probation program. All new offenses which were alleged to have been committed by terminated clients between their date of termination (on or after January 1, 1973) and December 15, 1973, were included in the study. However, since the arrest records of the state of Iowa Bureau of Criminal Investigation were not made available, the February 1974 evaluation included only those new offenses which were committed or alleged to have been committed in Polk County.

The evaluation indicates that the probation program was successful in achieving correctional effectiveness. During the evaluation period, only 26 of the 232 terminated clients (or 11.2%) allegedly committed an offense. Of these 26 clients, only 6 (or 2.5%) were charged with an indictable offense (4 were charged with felonies and 2 with indictable misdemeanors).

F. Community Correctional Facility

1. *Community safety.* During the period of evaluation, 171 clients were assigned to Fort Des Moines, and 116 of them were terminated. Only 16 of these 116 clients (13.8%) allegedly committed offenses while assigned to Fort Des Moines. Of the 16 alleged new offenses, 14 were felonies, one was a misdemeanor, and one was an indictable misdemeanor. Most of the offenses related to abscondence from the program, and none involved acts relating to property, sex, public morals, children, or drug abuse.

The one alleged new misdemeanor offense occurred after 62 days of assignment to the program, while the one indictable misdemeanor was charged after 88 days in the program. The clients charged with new felonies committed the alleged offense an average of 124 days after entry into the program.

These statistics demonstrate that the community corrections facility was very effective in achieving community safety, despite the fact that many of the clients exhibited "high risk" characteristics such as prior convictions, unemployment, and a history of drug or excessive alcohol use. A prior evaluation, prepared in July 1973 and covering an 18-month period, reached the same conclusion. Specifically, it also found that only 13% of the program's clients allegedly committed new offenses while assigned to the residential facility.

2. *Resource utilization.* In 1973, the clients of Fort Des Moines received 195 services from a total of 37 community agencies. The typical client who participated in community service training or counseling received an average of 2.5 referrals from the facility. During this period, the program increasingly focused both upon maintaining or upgrading the employment of persons who were already employed at the time of their assignment to Fort Des Moines and also upon obtaining employment for those who were unemployed. A majority of the services (54%) dealt with employment, education, and vocational training. In general, it appears that the services provided through the community corrections facility were tailored to meet the special needs of the individual client and that a substantial number of outside resources were frequently utilized by the facility.

The earlier evaluation of the community corrections facility, completed in July 1973, also found that the program was effectively utilizing outside community resources. The typical client studied during this 18-month evaluation received an average of 3.25 outside referrals. Most of the referrals (53%) concerned employment, education, and vocational training, though a significant number (18%) in this earlier evaluation related to drug or alcohol treatment.

3. *Social effectiveness.* The February 1974 evaluation found that the community corrections component was successful in increasing the educational and employment levels of its clients. The evaluation analyzed only those clients who were favorably terminated from the program. The 32 clients unfavorably terminated were transferred to other correctional institutions or to jail and were obviously not successfully integrated into the community.

As a result of educational referrals, 14 clients received new diplomas or degrees, while 6 others were actively engaged as students at the time of termination. The community corrections facility was also extremely successful in increasing employment rates and occupational levels for its clients. The employment rate for clients rose from 63% (41 out of 65) at time of assignment to the facility to 95% (62 out of 65) at time of termination. Further, an appreciable employment upgrading into the semi-skilled category occurred during assignment to the facility; the number of workers at this level in-

creased from 20 at time of assignment to the program to 30 at the time of termination. Moreover, a significantly larger proportion of clients relied on their own employment as their primary income source following favorable termination from the program than at the time of assignment.

Once again, the earlier evaluation of July 1973 confirms the finding that the community corrections facility achieved its objective of social effectiveness. During the 18-month evaluation period, 23 new degrees were earned by clients, and the number of students increased from seven at time of assignment to 24 at time of termination. Further, employment rates increased dramatically from 40% prior to commitment to 76% after release. And, finally, the earlier evaluation indicated that the number of clients whose own employment was the primary source of income increased significantly over the period extending from before commitment to that following release.

4. *Correctional effectiveness.* The 1974 evaluation studied the records of the 116 clients terminated from Fort Des Moines during 1973. Of these 116, 23 (19.8%) were charged with new offenses. However, only 13 of these clients (11%) were charged with indictable offenses. The average length of time between termination from the program and the time of the alleged first offense committed by a former client was approximately 6½ months.

The 1974 evaluation also analyzed the new offense rate for clients released prior to 1973. Of the 246 clients released by Fort Des Moines before 1973, 101 (41%) were charged with new offenses, and 53 (21%) were charged with indictable offenses. The average period of time between release and the commission of an alleged offense was 19 months.

These statistics indicate that the rate of new offense allegations is likely to increase over time. However, pending the broadening of data collection to include all offenses committed within the state of Iowa, the February 1974 evaluation tentatively concluded that the community corrections facility was successful in achieving correctional effectiveness. Probably the most important conclusion of the evaluation was that the community correctional facility was effectively dealing with clients who had high-risk characteristics (such as prior convictions, unemployment, and drug or excessive alcohol use). High-risk clients were charged with no more new offenses subsequent to their period of assignment than were clients with no prior convictions, more substantial employment history, and a relatively minor history of drug or alcohol use.

The earlier evaluation conducted in July 1973 generally contained similar findings as to correctional effectiveness. However, the earlier study made no attempt to describe the new offense allegations on the basis of the most serious offense alleged against each client and also did not distinquish between indictable and non-indictable offenses. The February 1974 evaluation avoided these limits and provided a more realistic appraisal of the correctional effectiveness of Fort Des Moines.

G. Financial Effectiveness of the Des Moines Program

Evaluations of the Des Moines project indicate that it has been successful in achieving its programmatic objectives. But another test of any correctional program is its financial effectiveness: how much do various elements cost, and what costs would be incurred if the program did not exist?

Correctional cost is generally calculated in two ways. Many correctional projects calculate an average "cost per day" for each client assigned to that project. Others estimate the average length or term of a client's participation in a component, multiply the average term by the cost per day, and arrive at an "average cost per term" for each client assigned to the component. The rationale behind using the average cost per term rather than the average cost per day is that many correctional programs provide intensive treatment which is very expensive on a daily basis. However, these same programs enable clients to be released into the community earlier than less intensive programs and, therefore, are less expensive over the entire term or length of the program.

The February 1974 evaluation estimated both the per day and per term cost of all four Des Moines components, as well as the cost of the Polk County jail and four state-operated correctional programs. Costs for central administration were allocated proportionately to all components of the Des Moines project and also to all state-operated programs. None of the cost estimates included capital expenditures. Table 6 displays the cost per day, the average length of terms, and the cost per term for each of the Des Moines components and for the other correctional alternatives.

As indicated in Table 6, the per day costs for both pre-trial release and supervised release are far lower than the per day cost of detaining a person in the Polk County jail prior to trial. With respect to per term cost, the expense of operating the pre-trial release program over an average term is virtually negligible. Further, though the length of time spent

TABLE 6

1973 Costs (Per Day and Per Term) for the Des Moines Project, for the Polk County Jail, and for Programs Run by the State Bureau of Adult Correction Services

	Cost Per Day	Average Length of Terms (Days)	Cost Per Term
1. Des Moines Project			
Pre-Trial Release	$ 0.44	51.7	$ 23
Supervised Release	4.84	99.3	481
Probation	1.08	359.4	388
Men's Community Corrections Facility	20.16	107.9	2,175
2. Polk County Jail	$10.49	47.8*	$ 501
3. Bureau of Adult Corrections			
State Penitentiary	$17.04	693.0	$11,809
Men's Reformatory	18.07	693.0	12,523
Parole and Probation	1.09	468.0	510

* This figure applies only to persons awaiting trial in the jail.

in supervised release is more than double the length of time spent in jail by jail detainees, the per term cost of supervised release is still lower than the per term cost of pre-trial detention in the Polk County jail.

Among the post-conviction programs, it is apparent that the per day cost of the probation component of the Des Moines project is virtually identical to the per day cost of the state-operated parole and probation unit. However, because of the shorter average period of assignment to the Des Moines probation component, its per term cost is significantly lower than the per term cost of the state parole and probation unit. Finally, though the community corrections facility is more expensive than the state penitentiary and the men's reformatory on a per day basis, it is substantially less expensive on a per term basis.

Over and above the comparative financial effectiveness of the four Des Moines components, it is also important to calculate the additional funds which would have had to be expended by the county and state correctional systems were there no Des Moines project. The 1974 evaluation estimated that, if the four Des Moines components had not been available, the number of clients assigned to the state parole and probation unit would have been increased by 515 clients per day, population of the Polk County jail would have been increased by 56 inmates per day, and the population of all other men's correctional institutions in the state would have been increased by 133 inmates per day. The actual cost savings permitted by the Des Moines project are estimated in Table 7.

As indicated in Table 7, the Des Moines project saved the county and state correctional systems an estimated $454,229 in 1973. In addition, the Des Moines program reduced the financial burden imposed on those accused of crimes. The evaluation report estimated that the pre-trial release and supervised release components enabled defendants to save a total of nearly $154,000, which would normally have been spent for the purchase of bail bonds.

Beyond these quantifiable savings, the Des Moines program also had other benefits. Clients who would normally have remained in jail prior to trial, those who would have been sentenced to incarceration but for their successful participation in

TABLE 7

Cost Savings Resulting from Handling Clients Through the Des Moines Project Rather than Through Other Programs

Program	Add'l Clients	Cost Per Day	Total Add'l Cost Per Day	Total Add'l Cost Per Year
Polk County Jail	56	$10.49	$ 587.44	$ 214,415
Probation & Parole	515	1.09	561.35	204,893
Men's Institutions	133	17.55	2,334.15	851,965
Total Additional Costs				$1,271,273
1973 Costs of the Des Moines Project*				817,044
Total Cost Savings				$ 454,229

* Costs include women's facility.

the program, and those who were assigned to probation or to Fort Des Moines were able to continue their existing employment or were helped to find new jobs. And, apart from the importance of jobs in changing client attitudes and behavior patterns, increased client employment led to a wide range of benefits:

- taxes on client wages provided support for local government;
- clients were enabled to continue supporting their families, thus reducing state welfare costs;
- by not removing clients from their spouses and children, marriages were saved, and fewer children became wards of the courts;
- wages earned by pre-trial clients were used to hire private defense counsel, thus reducing the burden on the public defender system.

But perhaps the best indication of the effectiveness of the Des Moines program is to be found at the most pragmatic level. The funding for the Des Moines project has, in the past, come primarily from the Law Enforcement Assistance Administration. However, because of the demonstrated success of the Des Moines program in meeting the correctional needs of the community, the Iowa State Legislature committed itself to providing total funding for the project in future years. And in the 1973 session of the legislature, "community-based corrections" was adopted as the model for future correctional programs for the entire state of Iowa. The policy and financial commitment made by the state legislature to the Des Moines approach was not based on correctional philosophies or theories in the abstract. It was grounded in the simple recognition that the Des Moines program—in both correctional and financial terms—works.

CHAPTER III. A CLOSE-UP LOOK AT THE FOUR DES MOINES COMPONENTS—HOW TO DO IT

Chapter III presents a discussion of each element of the Des Moines project in how-to-do-it terms. Each component—pre-trial release (ROR), supervised release, probation, and the community correctional facility—is described in terms of its purpose, its administrative structure, and its procedures. Chapter III thus provides a step-by-step analysis of the Des Moines community corrections system. In addition, the final section of Chapter III describes some of the general administrative features of the Des Moines project, including component cost breakdowns, staff salary levels, etc. To supplement this chapter, an appendix is included at the end of the manual which contains the various forms utilized in each of the four program components and in the administration of the program as a whole, and selected legislation which affects the operation of the Des Moines program.

A. Pre-Trial Release (ROR)

1. *Purpose.* The purpose of the pre-trial release-on-own-recognizance (ROR) component of the community corrections program is to release, without money bond, adult defendants whose stable roots in the community indicate that they will appear in court for trial.

2. *Administration.* The pre-trial release component's office is located in the Des Moines Municipal Court building—the same building that houses the city jail. However, the component also serves defendants who are detained in both the West Des Moines lock-up and the Polk County jail.

The pre-trial release component is staffed by a supervisor, a secretary, and five interviewers. The supervisor is responsible for overall administration of the component including the hiring, firing, and supervision of staff. In addition, the pre-trial release component's supervisor serves as a member of the supervised release component's "selection team." (See discussion of supervised release component.) This arrangement helps to assure coordination between the two components.

The secretary is responsible for all office operations and the maintenance of all files and records. In addition, the secretary mails out reminders of court appearance dates or calls defendants to notify them of any changes in scheduled appearances.

The interviewers are all law students who work on a part-time basis. They are responsible for conducting and verifying all eligibility interviews with defendants and for preparing recommendations regarding release. From September through May (the school year) the office is open from 8 a.m. to midnight. During summer months, interviews are conducted on a 24 hour basis. The ROR supervisor is on call at all times for exceptional cases.

Interviewers are selected on the basis of their interest in the program, their understanding and competence, and their ability to work day or night shifts or on weekends. The employment of law students as part-time interviewers has proven successful in Des Moines. However, some other ROR programs utilize full-time paid professionals, while yet others are staffed by volunteer interviewers. ROR programs are, in general, highly structured and utilize objective testing procedures; therefore, ROR interviewers do not have to be experienced professionals in order to be effective.

3. *Process.* There are five major steps involved in the ROR process: Identification of detainees, conduct of ROR interviews, verification of responses, release, and follow-up prior to trial.

a. *Identification of detainees.* The interviewers on the staff of the pre-trial release component are responsible for identifying potentially eligible defendants. During court hours (8:00 a.m. to 4:30 p.m.) there are two interviewers on duty in the pre-trial release component's office. They call the municipal jail every half hour and contact the Polk County jail periodically throughout the day to obtain information about arrests and bookings.

One interviewer is on duty between 4:00 p.m. and midnight. Defendants arrested during that period are identified when the interviewer makes periodic checks by telephone or, in some cases, when jailers at the various facilities call the pre-trial release

office to inform them that someone has been arrested.

The telephone number of the pre-trial release component's office is also posted in a conspicuous location near the booking desk in each detention facility in the county, and a growing number of detainees now call the office directly to request assistance. In yet other cases, people wanted by the police contact the pre-trial release component and come to the office with their attorneys or relatives to be interviewed prior to surrendering themselves to the police.

Finally, to make certain that every potentially eligible defendant in pre-trial detention in the county has been interviewed, the pre-trial release component's staff compiles and reviews a Jail Inmate Status Sheet on a weekly basis (see Appendix, ROR Form 1).

Information about booking charges is used by the interviewers to determine whether a detainee is eligible to be considered for pre-trial release. Those detainees arrested for intoxication, on a bench warrant issued for "failing to appear" for trial in the past, and those detainees subject to other specific "holds" or warrants issued by law enforcement or correctional agencies, are not eligible for ROR. Parole and probation violators are only considered for ROR if the parole or probation officer assigned to their case specifically approves.

All other people arrested and detained in municipal or county facilities for offenses that would otherwise be bailable are eligible to be considered for release. Those detainees subject to "holds" are also considered eligible if and when their "hold" is lifted by the agency that originally requested it. The two regional offices of the Department of Court Services are responsible for assessing eligibility for both ROR and supervised release of all those people arrested and detained outside of Polk County but within the boundaries of the other 15 counties that comprise Iowa's Fifth Judicial District.

Early in the history of pre-trial release, eligibility was more strictly defined. Before the judiciary became comfortable with the idea of formal release on recognizance only those defendants charged with lesser felonies or misdemeanors were eligible to be interviewed. Even then, the judiciary was reluctant to accept the recommendations of the project in questionable cases. As program data began to reveal that a greater number of defendants could be released without jeopardizing the objectives of the project, the judiciary became more comfortable with the idea of ROR. At present, only a small percentage of those arrested in the county are considered ineligible for ROR by the court. This evolutionary process has characterized much of the DES Moines program. As the program has demonstrated its effectiveness, it has increasingly tried to expand its concepts of eligibility and to serve those persons who were previously considered ineligible.

b. *Conducting ROR interviews.* ROR interviews are conducted as soon as possible after defendants are booked. Those arrested and booked during court hours (8:00 a.m. to 4:30 p.m.) and detained in either the municipal jail or the Polk County jail are usually interviewed within an hour or two after booking. Defendants arrested after 4:30 p.m. but before 8:00 a.m. of the next day are also usually interviewed within a few hours of their arrest and prior to arraignment the following morning. In some cases, however, defendants are not interviewed until after they are arraigned, since some defendants are detained in the suburban lock-ups and arraigned prior to their transfer to the Polk County jail.

All pre-trial ROR interviewers make use of a structured interview form that is based on—and closely resembles—the form developed by the Vera Manhattan Bail Reform Project (see Appendix, ROR Form 2). The interview form is designed to measure five basic variables which experience has proven to be directly related to the likelihood that the person will appear in court for scheduled appearances. Those variables are length of residence in the local community, the nature and extent of local family ties, time in the local area, stability of employment, and nature and extent of prior criminal record. Four of the five variables emphasize the relationship of the defendant to the local community.

The defendant's responses to the questions asked in the interview are scored on an objective scale. Points are awarded for length of residence, the existence of extensive family ties in the community, employment stability, etc.—the stronger the defendant's ties to the community, the more points awarded. Points are also awarded—or subtracted—on the basis of the defendant's record of prior convictions.

Although the interview form is basically the same as the one used when the program began in 1964, there have been some changes in the scoring system. These changes were made to emphasize those variables which experience indicated to be the most critical in determining the likelihood that a defendant—if released—would abide by the conditions of release. For example, under the original scoring system, a detainee was awarded one point

for extended residence if he or she had lived in Polk County for 10 or more years. However, the evaluation of the program subsequently revealed that extended residence was a particularly good indicator of successful performance after release. Moreover, the evaluation also suggested that an even shorter period of continuous residence than 10 years was sufficient to indicate the type of stability that correlated with successful performance in the program. Accordingly, a revised scoring system was introduced in January 1974; it provides that two extra points are to be awarded for continuous local residence of five or more years.

A second modification in the scoring system focused greater attention on the detainee's prior criminal record. Originally, points were awarded on the following basis:

No prior convictions	2 points
No prior convictions within the last year	1 point
Convictions for misdemeanors within the last year or one felony conviction	1 point
Two or more felony convictions	Minus 1 point

Recent changes in the scoring system were made to stress the importance of a clean record and to distinguish between misdemeanant and felony convictions. The scoring system now in use awards points in the following manner:

No prior convictions	3 points
No prior convictions within the last year	2 points
Misdemeanant convictions within the last year	1 point
One prior felony conviction	0 points
Two or more felony convictions	Minus 1 point

Interviews with detainees are always conducted in secure areas. In the municipal jail, interviews are conducted through the bars of the main holding cell. In the Polk County jail, an interview room is used. Each interview takes an average of from five to fifteen minutes.

When the interview is completed, the interviewer returns to the pre-trial release component's office to verify the detainee's responses and to complete various administrative tasks. The name of the interviewee is recorded on the daily log (see Appendix, ROR Form 3), and an individual client index card is filled out (see Appendix, ROR Form 4). These two forms provide current information on the component's caseload, help to assure that detainees are not interviewed more than once, and simplify the monitoring of the interviewers' daily work loads.

Because of a lack of adequate space in the Des Moines municipal jail, ROR interviews must be conducted through the bars of the central holding cell. As a result, interviews are characterized both by a lack of privacy (several persons may be held in the cell at the same time) and by a certain inconvenience (interviewers must write down responses while standing in the corridor outside the cell). Communities who wish to replicate all or part of the Des Moines program should try to insure that a more suitable interview environment is available.

c. *Verification of responses.* Verification is aimed at testing the accuracy and the truthfulness of the detainee's responses to the questions posed during the ROR interview. If the unverified score is less than the five points needed to qualify for ROR, an abbreviated verification process is used. However, a full verification is required in all cases where the unverified score is five points or more.

Whenever possible, verification of the interview is the responsibility of the interviewer who conducted it. The standard procedure is for the verification process to begin as soon after the interview as possible. In the case of a morning or afternoon interview, verification begins immediately upon the return of the interviewer to the office. For late night and early morning interviews, verification may need to be deferred until the morning. However, the interviewer is expected, whenever possible, to complete verification before the 9:00 a.m. arraignment.

For the most part, verifications are conducted in the pre-trial release office, a small room with an accompanying reception area. The office contains three desks and enough telephones to accommodate the simultaneous verification of several interviews. The staff estimates that the verification process averages about one-half hour per questionnaire.

The process of verification involves a series of reference checks (usually with family and acquaintances identified in the interview). As a rule, employers are not contacted since the pre-trial release component is careful not to jeopardize the defendant's job if he or she is employed.

Beyond basic reference checks with families and friends, the prior criminal record of the interviewee is researched through local police records, the Iowa Bureau of Criminal Investigation, the National Crime Information Center hold file and, in certain cases, the FBI hold file. A copy of an interviewee's prior record is attached to the interview questionnaire and becomes a part of the interview file.

When the verification process is completed, the verified score is compared to the unverified score. If the verified score is significantly lower than the

unverified score, the interviewer may admonish the defendant, and a penalty may be assessed against a detainee who is otherwise qualified for release.

The achievement of a score of five or more points is usually sufficient to warrant a recommendation of release. However, there are cases in which individuals who qualify on the basis of their point scores are not recommended for release because they are considered to be "bad risks" as a result of a past history of non-appearance or because their offense involved dangerous substance abuse.

Detainees who are interviewed by the pre-trial release staff fall into five groups. Each group is identified by a code (as noted on the first page of the ROR interview form):

R–1:	The unverified interview did not produce a high enough community stability score to recommend release;
R–2:	The unverified interview produced an adequate score, but the verified interview did not;
R–3:	Sufficient verified points; but evaluated as bad risk due to previous history of non-appearance or alcoholism and/or drug abuse;
R–4NA:	Recommended for release, rejected by court;
R–4A:	Recommended for release, accepted by court.

d. *Release.* Once the interview answers have been verified, the ROR unit secretary or the interviewer fills out an evaluation codesheet (see Appendix, ROR Form 5) which is used in the overall evaluation of the program. Each component of the program is provided with a separate colored codesheet to be filled out for each client who receives services from that component. In the case of pre-trial ROR, a codesheet is filled out for every person interviewed. Completed evaluation codesheets are sent to the central administrative office of the program and then to the project's evaluators (NCCD staff). In addition to the codesheet, the secretary also completes a release evaluation form (see Appendix, ROR Form 6), which summarizes the information gathered during the interview. This form is filed in the ROR office to serve as an information resource if any follow-up contacts become necessary. It also serves as a back-up record which is used if the client file is ultimately transferred to any other program component (e.g., supervised release or probation).

If the score attained in an interview qualifies a person for release, a pre-trial ROR release order (see Appendix, ROR Form 7) must be filled out and signed by the defendant. Occasionally, the interviewer will explain the conditions of release and have the detainee sign a release order during the initial interview, with the understanding that, if he or she qualifies for release after verification, the order will be submitted to the court to obtain authorization for release. Usually, however, the interviewer will wait until the interview has been verified before securing the defendant's signature.

After it is signed, the release order is submitted to the judge who presided at the detainee's arraignment. This step can occur as part of a bail motion by counsel for the defense at the original arraignment. However, the ROR interviewer usually presents the order—which includes his signature attesting to the defendant's qualifications for release—to the judge in his chambers after the arraignment.

If the judge accepts the recommendation of the program and authorizes the release of the defendant, he signs and dates the order and returns it to the interviewer. The interviewer then presents the official release order to the District Court Clerk's office, which is located in the Municipal Court building, to obtain an Order of Discharge (see Appendix, ROR Form 8), ordering the sheriff or chief of police to release the defendant. The interviewer then presents this Order of Discharge to the jailer at the holding facility and secures the defendant's release.

As the ROR program gained credibility with the judiciary in Des Moines, the pre-trial release staff was authorized to release—without a court order—those defendants arrested for misdemeanors and indictable misdemeanors between 4:30 p.m. and 8:00 a.m. who qualify for release on the basis of their interviews. (For those offenses covered by this option see Appendix ROR Form 9.)

To effect release under these circumstances, the interviewer signs a Release Order form and submits it to the jailer who then releases the defendant.

The recommendation of release submitted to the judge does not reveal the defendant's actual point score nor does the interviewer verbally provide the judge with that information. When the court receives a release order, the judge knows only that the defendant has achieved a verified score of at least five points on the ROR interview form and is, therefore, qualified for release under the terms of the program. The question of whether the defendant's point total should be reported to the court was debated in Des Moines. It was eventually decided by project staff and the judiciary not to disclose the defendant's point score in the recommendation for

release (implicit in the release order) since such disclosure might tend to restrict the granting of ROR to defendants with more than five points. This issue may be expected to arise in other communities which attempt to institute an ROR program.

e. *Follow-up.* Although Des Moines judges have accepted the pre-trial release component's recommendations in the overwhelming majority of cases (over 95%) there are some defendants who either fall short of the score needed to qualify them for ROR or who are rejected by the judge. In both instances, the defendant's file—including interview data, rap sheet, etc.—is referred to the supervisor of the ROR program for consideration by the supervised release component's "screening team" (see below).

Those defendants who are released on their own recognizance are, in the eyes of both the community and the judiciary, the program's responsibility. The component, therefore, follows up on defendants and attempts to insure that the conditions of release are respected.

First, as soon as release has been effected, the ROR interviewer usually takes the defendant to the pre-trial release component's office and reviews the conditions of release. Second, the defendant is given a card with the telephone number of the ROR office and the date and time of the defendant's next court appearance. Third, the secretary sends out a reminder (see Appendix, ROR Form 10) one week before the scheduled appearance date or calls the defendant if schedules are changed on short notice.

In addition, the pre-trial release component must obtain judicial permission for the defendant to travel outside of the state of Iowa since the release order specifically restricts travel. In the event that a defendant wants to leave the area, a travel permission order must be filled out (see Appendix, ROR Form 11). The defendant is required to detail the duration, destination and purpose of the proposed trip. The requested order is then submitted to the judge for approval. If the order is approved, the defendant is free to leave the state so long as he or she abides by any limitations specified in the order.

Failure to abide by the conditions of release makes the defendant liable for bond revocation. Pre-trial release staff typically only admonish defendants for minor violations of conditions associated with the release bond. But when major conditions of release are violated, the pre-trial release component's recourse is to apply to the court for a revocation of the ROR bond. This application (see Appendix, ROR Form 12) is usually submitted to the court either when the defendant fails to appear in court or is re-arrested on another charge while free on ROR.

B. Supervised Release

1. *Purpose.* The purpose of the pre-trial supervised release component is to serve those defendants who, because of their relative lack of community ties and/or their more serious criminal backgrounds, are denied release on their own recognizance. Moreover, the component seeks to provide a range of services to assist such defendants in rearranging their lives. The purpose of the program is, therefore, not only to release the maximum number of persons consonant with public safety (the purpose of the ROR component), but also to assist the released defendant to become qualified for probation if convicted.

2. *Administration.* The offices of the supervised release component are in the same building that houses the probation component and the program's central administrative staff. The building—a former Catholic school—is located near the downtown area, but it is in a neighborhood that has a relatively high incidence of crime. Normal operating hours are 8:00 a.m. to 5:00 p.m. on Mondays through Fridays. One counselor is also at the office from 7:00 p.m. to 9:00 p.m. two nights a week.

The supervised release unit is staffed by a supervisor, two selection team members (one is also the supervisor of the ROR component and the other is an ex-convict), four counselors, a three-man job development team, and a secretary. The supervisor is responsible for the overall administration of the component. He also makes all counselor assignments, passes on all release bond revocations, and carries a counseling caseload as well.

The two-man selection team is responsible for selecting defendants to participate in the program. They review case files and conduct interviews with all candidates for the program, develop recommendations for release in those instances where their experience and judgment suggest that a defendant will utilize the program's resources, present their recommendations to the court, and obtain the release of those defendants following the approval of the court.

Counselors are responsible for working with defendants on an on-going basis throughout the pre-trial period. They administer diagnostic tests and interview defendants to identify other areas of need or problems that might be obstacles to successful participation in the program. Counselors also draw up contracts between the defendant and the pro-

gram that specify both what the program expects from the defendant in the way of participation, behavior, and attitudes, and what the program can be expected to provide in return. In addition, counselors are responsible for developing a "plan for action"—or treatment plan—with each defendant that defines short- and long-term goals and identifies the resources the counselor proposes to utilize in helping the defendant reach those goals. Each defendant's "plan for action" then serves as the basis for on-going counseling and referral activities.

On the average, each counselor has a caseload of 20–25 defendants. Assignment of clients is made on a random basis with no special considerations given to the respective race or sex of the client or counselor. Problem cases are subject to reassignment, but in such instances revocation of the pre-trial release bond and reincarceration are alternatives also available to the supervisor. Some special assignments are made at the suggestion of the selection team. One selection team member also has, in recent months, been assigned to work with a small caseload consisting of those clients who are deemed to be such high risk defendants that they might otherwise be rejected by the program.

The supervised release component also has access to a consulting psychiatrist who is available to the program on a regular part-time basis. The psychiatrist screens all of the participants in the program through interviews, reviews scores on diagnostic tests, and consults with and advises counselors on referrals and counseling procedures.

The job development team is made up of a job developer, a vocational rehabilitation specialist on loan from the Area Vocation/Rehabilitation Program, and an employment specialist on loan from the Iowa State Employment Service. Functionally, the job development team serves both the supervised release and the probation components.

The vocational rehabilitation specialist is responsible both for assessing the vocational interests, skills, and strengths of those defendants who need assistance in finding jobs or in obtaining better jobs, and for identifying any specific obstacles to employment that might be addressed by the state's Department of Vocational Rehabilitation—such as prosthetic devices, hearing aids, special tools or clothing (helmets, masks, etc.), or manpower training.

The job developer and the employment specialist, on the other hand, are responsible for identifying possible jobs, convincing employers to hire defendants, and for helping the defendant to prepare for the job interview and application process. Following placement, the job developer is responsible for conducting periodic checks with the employer regarding the defendant's attendance and performance.

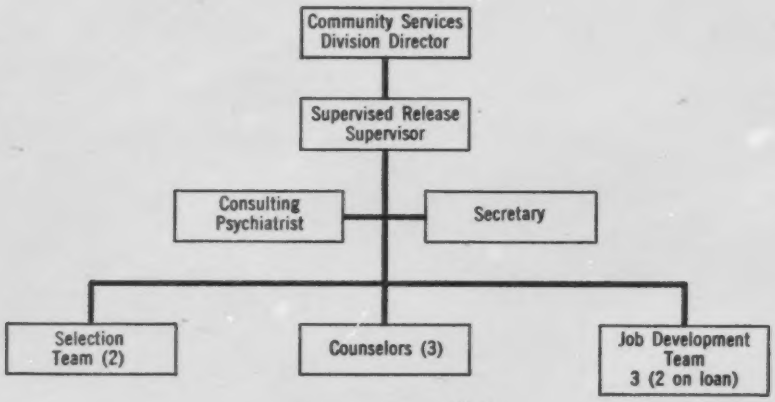
Chart 1 depicts the organization of the supervised release component.

3. *Process.* There are seven basic tasks involved in the supervised release process:

- Selection
- Release
- Intake
- Testing
- Counseling and Referral
- Job Development and Placement
- Termination

Since pre-trial periods vary, the actual duration of defendants' involvement with the supervised release component also varies considerably. On the average, however, the length of time between pre-trial release from jail and sentencing after trial is 110 days in Des Moines.

CHART 1



In the description of the specific tasks involved in the administration and operation of the supervised release component that follows, care has been taken to include even the most pro forma administrative and reporting tasks in order to provide the reader with a full understanding of just how the supervised release component works.

a. *Selection.* The selection process is absolutely critical to the success of the entire supervised release component. Supervised release begins where ROR ends: the supervised release component's clients are selected from the pool of defendants who fail to qualify for release on their own recognizance. As a group, these defendants do not have established roots in the community and they often have more extensive and/or serious records of prior criminal behavior. In many instances, defendants who fail to qualify for release on their own recognizance also exhibit a wide range of social disabilities like alcoholism and drug abuse, or employment-related problems.

The supervised release component's selection team routinely reviews the files of all defendants who either failed to qualify for ROR (Code R–1 or R–2 on ROR Form 2), or who were rejected by the pre-trial release ROR component (Code R–3), or were rejected by the court (Code R–4NA) despite the fact that they scored high enough on the ROR questionnaire to otherwise justify an ROR release. These files are maintained at the pre-trial release component's office in the city courthouse, and the supervised release component's selection team reviews them there—usually either on the same day the defendant is rejected for ROR release or the following day.

There are three kinds of defendants that the selection team usually screens out following file review. First are those defendants who are transients—non-residents of Des Moines—who are arrested for an offense committed while they are "passing through town." Second are those defendants subject to specific "holds" or warrants issued by local state, out-of-state or federal law enforcement agencies. (Exceptions occur when staff of the supervised release component take an active role in having the "hold" lifted by the appropriate agency.) Third are those defendants who are mentally disturbed or addicted. In the latter instance, the selection team may recommend transfer of the defendant to appropriate service programs (psychiatric, substance abuse programs, etc.) that offer secure facilities and that have been designated under Iowa law as county "jail" sites. Such recommendations and any subsequent action by the court in response to the selection team's recommendation are noted in the interview file.

Following the initial review of case files, one of the members of the supervised release component's selection team—usually the ex-prisoner on the team—conducts a "screening interview" with each defendant. "Screening interviews" are flexible, subjective, and open-ended. They are geared to provide the interviewer with basic information about and insights into the defendant's personality and characteristic modes of behaving and coping. The interviewer usually focuses on the kinds and extent of the defendant's ties to family and friends in the community, length of residence and mobility, the defendant's age and prior arrest and conviction record, the defendant's employment record, and the defendant's involvement in drugs or alcohol.

The selection team is noted for being "street wise" and thorough. During "screening interviews" it is not unusual for the interviewer to learn enough about a defendant's problems and needs to suggest specific conditions of release.

If the interviewer is satisfied that the defendant has honestly responded to his questions, understood the operations of the program and the tasks he or she will be expected to assume in addressing specific personal problems, and indicated an honest willingness to abide by the conditions of supervised release, he may select the defendant for entry into the program and recommend to the court that the defendant be released.

Unlike ROR release, then, supervised release utilizes a highly subjective selection process that is based on the judgment of experienced staff rather than on an objective point score. The subjective judgements of the supervised release component's selection team are, however, considered by many observers to be superior to any objective selection and screening criteria that has been devised. In general, the subjective interview probes the likelihood that: (1) the defendant will appear in court following release; (2) the defendant will be a "good risk" and that he will not become involved with the police during the pre-trial period; and (3) the defendant will cooperate with the staff of the supervised release component.

Communities contemplating the development of a supervised release project should consider the use of ex-prisoner staff in screening potential program clients. At the beginning of the supervised release project in Des Moines, there was considerable opposition from the law enforcement community to the use of an ex-prisoner for this purpose. The success of the program has been so startling,

however, that such opposition has diminished to the point where ex-prisoners have been offered jobs in the other components of the program. In Des Moines, program administrators attribute much of the success of the overall supervised release program to the keen perceptions of the ex-prisoner staff members and their ability to relate effectively to defendants.

b. *Release.* In those instances where a defendant is selected for participation in the supervised release program, the interviewer submits a recommendation to the court and requests release of the defendant to the program. Releases to the program are subject to the provisions of the release bond (see Appendix, SR Form 1) and any special conditions which the court or the program—on the recommendation of the selection team—may see fit to impose.

The actual procedures followed in obtaining the release of the defendant to the program are similar to those followed in securing release under the ROR program, but there are some differences. Following the interview, the interviewer returns to the pre-trial release office and fills out an intake summary sheet (see Appendix, SR Form 2) which is a basic information form used by the program on a continuous basis.

Next, the release order is prepared for submission to the court. At this time, the interviewer details any special conditions of release that he feels are important to a successful supervised release effort.

For example, defendants might be required to avoid certain personal associations, to undergo daily testing designed to uncover any illegal drug use, or to report to the supervised release component on a daily basis. Special conditions are prescribed on a case-by-case basis and are designed to fit the needs of particular clients.

Once the "release order" is completed, the defendant is required to review and sign it before it is submitted to the judge for approval. After the judge authorizes the release and signs the release order, the procedures for securing actual release of the defendant are the same as those utilized in securing release-on-recognizance. That is, the signed "release order" is delivered to the court clerk who issues a "discharge order." The "discharge order" is delivered to the sheriff's deputy at the Polk County jail, and the defendant is released to the program.

At the inception of the program, there was some reluctance on the part of judges to release some of the higher risk defendants recommended for release by the program. However, as a result of the program's success, the court has become more willing to consider supervised release for higher risk defendants. One of the main reasons for this liberalization is the fact that the program began to require each defendant to provide four personal references which are used to locate the defendant if he moves without notifying the program.

c. *Intake.* Immediately following release, the defendant is taken—by the selection team—from the county jail to the supervised release office. Intake involves several different kinds of procedures. First, there are a number of administrative operations. The component's secretary opens a "master client file" which includes the interview materials and any other relevant information on the defendant. Each "master" file is logged by both case number and name. The secretary also completes an "incoming client summary" (see Appendix, SR Form 3) and a "supervised release evaluation codesheet" (see Appendix, SR Form 4) which is used for overall program evaluation.

At the same time, the selection team reviews the interview file with the supervised release component's supervisor; they discuss the content of the interview, any special conditions imposed by the program or the court, and any specific short-term problems or needs identified by the interviewer. Following this briefing, the supervisor assigns the client—or defendant—to a counselor. Assignments are usually based on caseload size, although the interviewer on the selection team can also recommend assignment to a particular counselor if, in his opinion, the match between that counselor and the client would be especially productive.

Once a counselor has been assigned to work with a particular client, he is briefed and introduced to the client. The initial meeting between the counselor and the client usually takes place on the day the client is released—or, at the very latest, the next day. During the first meeting, the client is asked to sign a waiver of privacy (see Appendix, SR Form 5) granting the program access to any information in the files of other agencies that might otherwise be confidential; the counselor reviews the general rules of the program and any special conditions imposed on the client; and the counselor goes over the provisions of the basic supervised release contract which the client has to make with the program (see Appendix, SR Form 6). The contract acknowledges the relationship between the program and the client, details the conditions of release, and specifies the consequences of any breach of the contract by the client. If the client is not willing to sign the contract, the release bond can be revoked immediately and the defendant returned to jail. Finally,

during the first meeting with the client, the counselor establishes the schedule for further counseling sessions and for administration of the battery of diagnostic tests which the program utilizes.

The program promotes the idea of a written contract. It is felt that the signing of such a document is a first step in the client's overall program of accepting and maintaining responsibility for his or her actions. The great majority of the clients look upon the contract as a blueprint for action and use it as a means of establishing control over their lives. Communities interested in replicating the Des Moines program are advised to consider the potential benefits of a written client contract as they design their programs.

It should also be emphasized that at no time does the supervised release staff discuss any aspect of the crime the client is charged with or his defense. The purpose of the supervised release period is to assist the client in overcoming any problems through the provision of services. The program staff consciously maintains this neutral posture throughout the supervised release period.

d. *Testing.* A battery of diagnostic tests is administered to clients within a few days after entry into the program. Several kinds of tests are administered by the counselor: the Minnesota Multiphasic Personality Inventory (MMPI-Short Form) is used to assess personality and to identify any serious deviance; the Peabody Picture Vocabulary Test is used to measure basic comprehension; and the Wide Range Achievement Test (WRAT) is used to assess phonetic skills.

In addition, in those instances where employability is questionable or where work records are spotty, the vocational rehabilitation specialist may administer a Career Exploration Test in order to identify vocational interests and strengths.

The final diagnostic screening is performed by the consulting psychiatrist. The psychiatrist reviews test results, probes sensitive areas during an interview with each client, and identifies any problems that should be addressed by the counselor during counseling sessions with the clients.

The psychiatrist's analysis of all test scores and any other analytic materials are incorporated into each client's file.

In the past, two other tests were also used by the program: the Beta Test, measuring IQ and basic aptitude, and the Cornell Index-A-1 Scale, measuring organic brain dysfunction. These tests were dropped from the overall battery to save time since, as a rule, they added little to the basic picture provided by the other tests. While other localities need not follow Des Moines procedures to the letter, they should consider adoption of psychological, educational, and vocational screening procedures to provide a clearer picture of the individual client and his or her strengths, weaknesses and needs.

e. *Counseling and referral.* Clients are only in the supervised release program for an average of 110 days prior to trial and during that period the main thrust of the program is aimed at helping clients develop the kind of "track record"—in terms of stability and accomplishment—that will qualify them for probation if they are convicted. To achieve this objective, the supervised release component's counselors utilize an approach to counseling that is reality oriented and directive.

Counselors establish both short-term and long-term counseling goals within the first few sessions with the client. Counseling goals and the approach and methods the counselor intends to utilize in reaching those goals are specified in a "plan for action"—a treatment plan—for each client. Long-term goals—including goals related to the development of educational and vocational skills—are frequently based on information about the client's needs, interests, and capabilities that is derived from an analysis of the client's diagnostic test scores. Short-term goals, on the other hand, are most often focused on addressing the kinds of immediate needs and problems that continually disrupt clients' lives on a day-to-day basis and that keep them from dealing with their long-term needs. (A sample client treatment plan may be found in the Appendix, SR Form 7.)

Counselors, therefore, devote a great deal of initial attention to identifying those resources in the community that might be called upon to help address clients' pressing need for things like housing, subsistence food supplies, clothing, or family support. The kinds of agencies counselors most frequently contact on behalf of clients are agencies like the local public housing authority, sectarian agencies, public and private welfare agencies, food stamp distribution centers, agencies providing mental health services, family counseling services, or alcohol and drug abuse centers.

In helping clients deal with short-term needs, then, counselors identify the appropriate resources, give the client basic information about those resources, initiate referrals, actively follow up on referrals, and act as the client's advocate in assuring that agencies respond to their request for services. All such agency contacts initiated on behalf of a client are noted in the client's file.

Counselors draw on a number of resources to help clients achieve long-term goals. Clients who do not have a high school diploma or its equivalent are enrolled in the GED (General Educational Diploma) classes that are held at the supervised release component's office two nights a week. The GED exam—a high school equivalency examination—is administered at regular intervals so that the clients can learn at their own rate and take the exam whenever their achievement justifies it and they feel ready. Teachers from the local community college conduct classes as part of the college's regular program; thus, there is no cost involved for the community corrections program.

Clients who are interested in higher education or some kinds of special vocational training may be referred by the counselor to the local community college's Urban Education Center. Counselors can also call upon the state's Department of Vocational Rehabilitation to help pay the tuition of some clients, to assist them in enrolling in federally funded manpower training programs, or to provide assistance in dealing with job-related disabilities or needs.

There are also a variety of evening activities at the supervised release component's offices that counselors may require clients to attend as part of the treatment plan. Evening activities are frequently cultural or informational in character. For example, various public and private agencies were invited to make presentations and answer questions in a series of evening meetings with clients.

Counselors monitor attendance at the special evening sessions (see Appendix, SR Form 8). Extensive absence may result in either admonishment or, in extreme cases, in a decision to revoke the release bond and reincarcerate the client.

A substantial portion of the counselor's time is also spent in documenting the client's progress for use in the pre-sentence investigation conducted by the probation component if the defendant is convicted at trial. Each contact with a client is recorded on a contact sheet (see Appendix, SR Form 9). A summary of all contacts is recorded on the chronological record sheet (see Appendix, SR Form 10). Both of these forms are included in the individual client file.

Finally, counselors and the component's clerical support staff are also responsible for authorization and verification of requests for permission to travel (see Appendix, SR Form 11) and for reminding clients—via mail or telephone—about court appearances or appointments for diagnostic testing or psychiatric interviews (see Appendix, SR Form 12).

While each counselor in time establishes relationships with the various community agencies and institutions that he or she makes use of, the program uses a service agency directory published by the local United Way social planning council. This source is invaluable to new and inexperienced counselors because it identifies those little known resources that are available to persons with special needs. Communities setting up a supervised release type program should make use of similar sources developed in their area. As a program is developing, such directories can also be used to identify agencies that the program should establish working relations with or to identify those agencies that should be kept informed about the operations of the community corrections program.

f. *Job development and placement.* If a client is unemployed at the time of entry into the supervised release program, the counselor consults with the program's job development staff. Consultation about a client or referral of an unemployed client to the job developer often occurs within one day after intake into the program. A job referral form (see Appendix, SR Form 13) is filled out by the counselor and given to the job developer for the purpose of recording client job interviews. (This form is also used by the pre-sentence investigation and probation components.) To develop an overview of the client's employment history, the job developer reviews the material in the client's file that was collected during the ROR interview or the supervised release "screening interview." Next he interviews the client using the Iowa State Employment Services Employment Record Form (see Appendix, SR Form 14) to obtain any additional information needed. During the interview, the job developer attempts to develop a realistic assessment of the client's experience, his or her interests and career aspirations, and any job related skill or competency levels. After the initial job development interview is completed, the vocational rehabilitation specialist (who often joins in the initial interview) administers and scores the Career Exploration Test, and develops a job placement and/or training plan for the client in conjunction with the job developer and the employment specialist.

The employment specialist is a staff member of the Iowa State Employment Service (ISES) who is on loan to the community corrections program. The employment specialist has full access to the resources of ISES, including access to the Iowa Job Bank (called SCOPE). SCOPE lists all current job openings in the state—or sub-sections of the state—and provides other relevant information such as the

salary level and qualifications associated with each job. The listing of jobs is updated every day and supplied to the ISES employment specialist on microfiche sheets that can be used to display the information on a microfiche screen located at the supervised release component office. The employment specialist reviews the job list every day to identify jobs that might be suitable for clients of the program. The job developer then takes over, contacting the employer and discussing the client's situation as well as the client's qualifications. If the employer is willing to consider the client for the job, the job developer schedules an interview and notifies the client and his supervised release counselor. The employment specialist also provides an ISES introduction card (see Appendix, SR Form 15) that the client gives to the employer at the interview.

If the client is not successful in obtaining the job, the process is repeated until a successful placement is achieved. The same process is utilized to identify appropriate employment for clients who lose or leave their jobs during the pre-trial period or for clients who are under-employed and interested in obtaining better jobs.

When a client is hired, the job developer or the counselor monitors the client's on-the-job performance. If the client needs short-term assistance, such as a subsistence allowance until the first paycheck is received, prosthetic devices (braces, eyeglasses, hearing aids, etc.) or special tools and equipment (welding mask, mechanics tools, etc.), the job developer requests assistance from the vocational rehabilitation specialist who has access to the resources of the state Department of Vocational Rehabilitation.

As noted above, the vocational rehabilitation specialist is also responsible for referring clients to local, state, and private educational and skill development programs or for matching them up with manpower training programs and apprenticeship programs whenever it is appropriate.

The vocational rehabilitation specialist is on loan to the program from the Area Vocational/Rehabilitation Program. This is also true of the employment specialist, who is on loan from the Iowa State Employment Service. The fact that personnel to fill these critical staff positions have been provided through cooperative interagency agreements should suggest to communities interested in developing similar programs that they should attempt to establish comparable relationships when developing their own Des Moines-type programs.

g. *Termination.* There are two ways of terminating a client's relationship with the supervised release component—through revocation of the release bond or through judicial disposition of the case against the client. Both of these alternatives involve a series of procedural actions.

In theory, the release bond can be revoked for any breach of those conditions set forth in either the release bond itself or the contract between the client and the program. However, in practice, the release bond is usually only revoked in the event of re-arrest on another indictable charge or failure to appear in court. Counselors are allowed to exercise their discretion in most other instances, such as, frequent, unexcused absences from scheduled meetings or program activities; prolonged unauthorized absence from the jurisdiction; repeated absence from the job; or a "general failure to assume those positive responsibilities required of a client."

In most cases, counselors and the component supervisor try to give the client the benefit of any doubt that exists and to avoid revocation of the bond. However, if the counselor and the supervisor decide revocation is necessary, the program initiates the legal procedures for revoking the release bond.

If revocation is based on the re-arrest of a client for an indictable offense and the defendant is in custody on that charge, the community corrections program simply requests that a "hold" be placed on the client until formal revocation of supervised release is accomplished. If the client is in the supervised release component's office when the decision to revoke the release bond is made, the client is returned to jail and a hold is requested. A request for hold form (see Appendix, SR Form 16), signed by the Director of Community Services, is used for this purpose. In those cases where the client has failed to appear in court as scheduled, the judge may issue a bench warrant for the client pursuant to the conditions contained in the release order. If and when the client is re-arrested, the formal machinery of revocation proceeds.

Following submission of the request for hold form to the sheriff's office, the request for revocation and the grounds for it are noted in the client's file and an application for revocation of bond—the same form used by the pre-trial ROR component (see Appendix, ROR Form 12)—is filled out and submitted to the judge. The judge's signature concludes the formal revocation process.

In those cases where clients go to trial, the relationship between the program and the client ends as soon as a finding of not guilty is entered or as soon as the judge makes a dispositional decision. In the latter case, the release bond is usually

continued during the period between conviction and sentencing (except for particularly serious offenses) while the pre-sentence investigation is being conducted. During this period the supervised release counselor prepares a summary report and meets with both the client and the pre-sentence investigator from the community corrections program's probation component. The PSI investigator is also allowed free access to the basic client file, and the counselor is also often called upon to answer questions posed directly by the court. While the summaries themselves often include the opinions and perceptions of the counselor, no formal sentencing recommendations are made by supervised release staff. Rather, the counselor lets the client file, complete with the contact forms, summary sheets, and referral or placement notations intact, speaks for itself.

When the court formally sentences the client, the client file is brought up to date, all specific records are completed, and the file is closed.

It must be recognized that only a small minority of supervised release cases are terminated by revocation. However, it is important that a formal revocation process be developed to insure the smooth running of the program. While the process developed in Des Moines responds to the judicial demands of that community and may not be wholly relevant to other locales, it is important that any replication of the Des Moines concept be provided with a formal process of re-arrest and revocation in those cases which warrant it.

C. Probation/Pre-sentence Investigation

1. *Purpose.* The purpose of the probation/pre-sentence investigation component is twofold: 1) to assist the court in arriving at the most appropriate sentence for defendants convicted of felonies and indictable misdemeanors, and 2) to supervise the conduct and activities of those defendants who are sentenced to probation.

2. *Administration.* The probation/pre-sentence investigation (PSI) component was originally one unit and probation officers in the unit conducted pre-sentence investigations and supervised probation caseloads as well. However, recent legislation in the state of Iowa requires a pre-sentence investigation in all cases where the defendant is convicted of a felony or an indictable misdemeanor—except in those instances where the defendant specifically waives the investigation and requests immediate sentencing.

As a result of the new legislative provisions, the number of pre-sentence investigations requested by the court increased so sharply that the pre-sentence investigation function was administratively separated from the probation supervision function and organized as a separate and distinct unit. Each of the two units—PSI and probation—is administered by a supervisor who reports to the Director of Community Services. Both units are located in the Department of Court Services building, but each unit has separate offices. Chart 2 depicts the overall organization of the probation/pre-sentence investigation component.

The supervisor of the pre-sentence investigation unit is responsible for the direction and supervision of the PSI staff—including PSI investigators and secretarial staff, and for the overall administration of the unit's efforts.

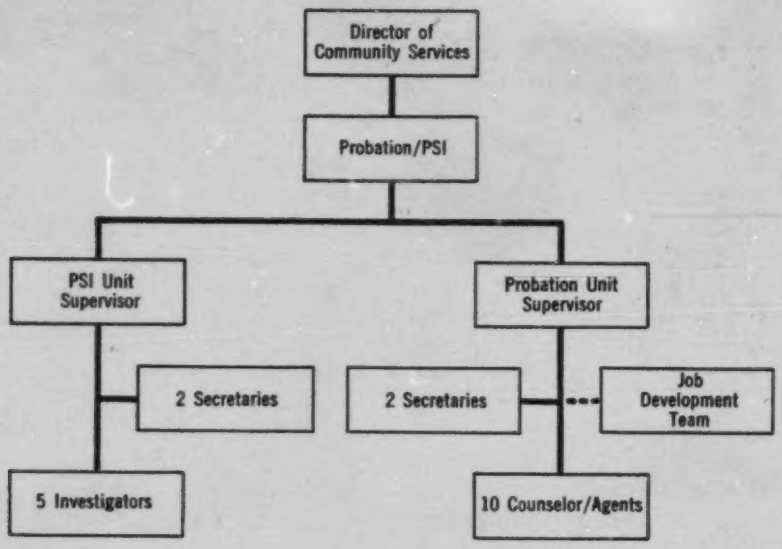
Each PSI investigator is responsible for gathering all of the background information needed for the PSI report, for actual preparation of the report, and if requested, for providing testimony regarding the information contained in the report. In addition, PSI investigators are also responsible for providing other components with information they request about particular defendants for maintenance of all records pertaining to cases. At any one time, each investigator may be conducting as many as 10 PSI's; however, the average is 8–9. Normally, investigators have between two and four weeks to complete each PSI. The length of time allowed for each PSI is, at least in part, contingent on whether the defendant is free or incarcerated during the PSI period.

The PSI secretarial staff is responsible for maintaining all component records and for typing the completed PSI reports.

The probation supervisor is responsible for all caseload assignments; supervision of staff, including hiring and firing; and monitoring of all restitution and revocation orders. The supervisor also has initial contact with many of the probationers and carries a limited caseload.

Each probation agent is responsible for the day-to-day supervision of his or her probationers. Activities include preparation and monitoring of individualized treatment plans, referral of probationers to available community services and the job development team, and preparation and monitoring of restitution plans. Agents are responsible only for the supervision of adult criminal probationers. The average on-going agent caseload varies, but at present agents are responsible for between 55–65 probationers. (One agent supervises as many as 150

CHART 2



probationers, but only those having "minimum supervision" needs.)

Job qualifications for probation/PSI component staff members in Des Moines are not as stringent as they are in many other jurisdictions. However, there are certain minimum skills applicants are expected to have. For example, since the ability to speak and write clearly is so important to effective performance on the job, these skills are emphasized. Most PSI investigators and probation agents are college graduates, although they do not necessarily have law enforcement or corrections related degrees. Since the program encourages a system of cross-fertilization, any available openings in either the PSI or probation supervision units are first made available to other program staff members, after which the position, if unfilled, is made available to the general public.

3. *Process: Pre-sentence investigation.* There are five major steps involved in the process of administering and conducting pre-sentence investigations: intake; interviewing the offender; verifying the offender's responses; preparing the PSI report; and performing follow up activities.

a. *Intake.* When a defendant is convicted, the county prosecutor's office notifies the Department of Court Services, pre-sentence investigation unit. Offenders who are free pending sentencing are required to appear at the PSI office within 48 hours following conviction. If the offender does not appear, counsel for the defense is notified. If the offender still does not appear at the PSI office, the court is so informed. PSI investigators visit those offenders who are incarcerated during the period between conviction and sentencing in the Polk County jail and perform the intake function there.

During intake, the offender has to sign a release of information form (see Appendix, PSI Form 1) that authorizes release of all information pertinent to the PSI. A summary sheet is also completed (see Appendix, PSI Form 2). The summary sheet eventually becomes the front page of the PSI report. Offenders who are not incarcerated during the PSI period are given a reminder card with the office telephone number and asked to call the investigator the next day.

b. *Conducting the PSI interview.* After intake is completed and the court record has been obtained from the county prosecutor's office, the case is assigned by the PSI unit's supervisor to an investigator.

As soon as an investigator is assigned to the case, he or she requests a copy of the offender's criminal history from the Iowa Bureau of Criminal Investigation. Usually within a week following intake, the investigator interviews the offender using as a general guide the outline in *The Pre-Sentence Investigation Report*—a booklet published by the Federal Division of Probation in 1965. The interview is designed to obtain in-depth information about the offender's life, and usually takes several hours to complete. At the conclusion of the interview, the offender is instructed to prepare a statement—in his or her own words—about the particular charge on which the offender has been con-

victed. The offender's statement is included in the PSI report.

c. *Verification of the offender's responses.* After the interview, the investigator begins to verify the offender's responses to interview questions. The information needed to verify responses is drawn from several different sources. First, the investigator contacts any sources that might have written records on some aspect of the offender's life—military service records, school records, or records of any special training programs, for example. Second, the investigator contacts all sources directly cited by the offender during the interview. As a rule, the investigator personally visits the offender's parents, spouse, present employer, or clergyman. In addition, the victim of the crime—if any—is interviewed, as is the defense attorney.

The investigator also contacts the prosecutor, past employers, the arresting officer, and any other people who were either involved in the offender's offense or influential in the offender's past life. If the offender was a client of the supervised release component during the pre-trial period, the PSI investigator consults with the supervised release counselor and reviews the supervised release component's case file to obtain information about the offender's performance during the period between arrest and trial. In most cases, the treatment plan developed for the offender during his supervised release continues in effect during the PSI investigation.

During the verification process, the investigator may meet with the offender again to check out any inconsistencies between the offender's responses and the information received from other sources. Inconsistencies are sometimes due to memory lapses, lack of understanding on the part of the offender, or other valid reasons. In any case, the PSI investigator identifies any such inconsistencies and raises them with the offender.

If, during the course of the PSI, the investigator feels that the offender should undergo psychological or psychiatric evaluation, or assessment by an alcoholism or drug abuse treatment agency, the investigator asks the court to order such an evaluation.

Several forms are used by the PSI unit to guide and record the investigator's activities in conducting the pre-sentence investigation. They include: the general official request for information form (see Appendix, PSI Form 3) used to request information from relevant institutions or agencies; a PSI case checklist (see Appendix, PSI Form 4) used to trace the progress of each individual case; a PSI investigation checklist (see Appendix, PSI Form 5) used to assist investigators in monitoring their active cases; and a PSI disposition record (see Appendix, PSI Form 6) used to provide an overall picture of the on-going deadlines of the component.

These forms are ultimately presented to the unit supervisor for both monthly reports and staff monitoring and supervision. In addition, special individual thumbnail checklists (see Appendix, PSI Form 7) are available to investigators for their own on-going records.

d. *Preparation of the PSI report.* The primary purpose of the PSI report is to assist the court in arriving at an appropriate sentence. Through a thorough and exhaustive examination of the offender—his life, family, education, and work experiences; former criminal or institutional record; likes, dislikes, hobbies and avocations—the pre-sentence investigator tries to piece together a complete portrait of the man or woman on whom the court must pass sentence. In the Fifth Judicial District, the guiding philosophy behind this process is the desire to provide the judge with recommendations which make the broadest use of the sentencing alternatives available.

The general alternatives available to a court (depending of course on legislative limitations) are a deferred sentence, a suspended sentence, straight probation, local incarceration in the county jail, or a straight prison sentence. In the Fifth Judicial District of Iowa other alternatives exist, including: sentencing to the Fort Des Moines community correctional facility or to the women's facility, or placement in a therapeutic community—mental health, alcoholism, or drug treatment—as a condition of probation. Both the courts and the PSI unit are committed to an expansion of such alternatives to provide the most appropriate post-sentencing environment for the convicted defendant.

The PSI report, in general, follows the outline developed by the Federal Division of Probation and set forth in *The Pre-Sentence Investigation Report,* although the PSI unit in Des Moines has modified the federal format in some instances to increase its relevance for use at the state level. In the report, the PSI investigator presents his or her findings; the offender's written statement about the offenses and any circumstances surrounding the offense that the offender wishes the court to consider; the summary of the offender's performance during the pre-trial period if the offender was in the supervised release component; and information about any on-going treatment plan initiated during the pre-trial period. In preparing recommendations for inclusion in the

PSI report, the PSI investigator might also consult with the supervisor of the component's probation unit in order to establish any special conditions that it might be desirable to impose on the offender if he or she is sentenced to probation. Similarly, the director of the residential correctional facility for men (at Fort Des Moines) or the facility for women, is consulted if there is a possibility that the offender will be placed there so that proposed treatment plans can be included in the PSI report.

The PSI report is generally due three days before the date of sentencing. During the time between submission of the report and sentencing, the report is reviewed by both the judge and the offender. If the court feels that there are areas of ambiguity in the PSI report or wants more background information on the offender, the judge may ask the PSI investigator to testify or justify his or her recommendations.

Two recent issues have clouded the operations of the PSI unit. First, since the law mandating PSI reports for all indictable offenses went into effect, a significant number of offenders (approximately 25%) have chosen to waive the PSI and call for immediate sentencing. Typically, the court accedes to these requests and waives the need for a PSI. It appears that the majority of these offenders have had previous convictions and are unconvinced of the value of the PSI procedure. It also appears that defense attorneys suggest a waiver in the hope of securing a more favorable sentence for their clients. This situation is the subject of some concern to Des Moines project staff.

Second, some offenders have begun to question the objectivity of the individual investigator and have attacked the accuracy of PSI reports. The offender has been given the right to examine and comment upon the PSI report, but there is some concern over what the parameters of defense review should be.

Both of these issues have arisen at a time when the PSI unit is itself in a state of flux, having expanded in response to the recent legislative requirements. The process involved in the PSI report preparation may therefore be subject to some modification in the future.

e. *Follow-up.* Following sentencing, the PSI investigator may be contacted by agents from the probation unit or the residential services staff for background information on the offender. The investigator makes the PSI report available to them, meets with them, and—if requested to do so—may assist them in formulating special conditions or treatment plans. The PSI report is also made available to the state Department of Corrections if the convicted offender is sentenced to a state institution. Finally, PSI reports are also available for use by parole boards to aid them in their deliberations.

4. *Process: Probation supervision.* The probation unit provides supervision for all offenders granted probation within the Fifth Judicial District. In Iowa, an offender can be placed on probaion if the court either suspends or defers sentencing. In those cases where sentencing is deferred, the offender has entered a plea of guilty and it has been accepted. The court, however, instead of pronouncing sentence, requires the offender to submit to supervision by the probation unit. The period of probation in the case of deferred sentences is usually one to two years. If the offender's performance during the probationary period is satisfactory, the original charge is ultimately "dismissed with prejudice." In theory, this practice results in a clean record for the offender.

In those cases where the court suspends the sentence, the probationary period is usually not fixed. That is, it is indeterminate and continues until the probation agent and the court agree to termination. However, in some instances, the court specifically states in the sentencing order that the offender has to serve out the balance of a set sentence on probation.

In addition to those offenders assigned to probation as a result of deferred or suspended sentences, the probation unit also provides supervision to one other group—those clients, or prisoners, who are "paroled" from the Department of Court Services' residential facilities.

There are five basic elements in the probation supervision process: intake; assignment; supervision; revocation; and discharge.

a. *Intake.* When sentencing is suspended or a deferred sentence given and the offender is referred to the probation unit, he or she is required to contact the unit by 10:00 a.m. the following morning. The sentencing order, which is transferred immediately to the unit, includes information about the charge; the case number; the term of the sentence, if it is specified; the name of the sentencing judge; and any conditions of probation stipulated by the court.

When the probationer appears at the probation unit office, the intake interview is conducted by one of the agents assigned to intake duties that day (two agents have intake responsibility on any given day).

The probationer is required to sign a waiver of information form similar to that used by the super-

vised release and the PSI components. This allows the probation agent in charge of the case to secure any information on the probationer that may have been overlooked in the PSI. The intake agent also conducts an interview to obtain the initial statement of the probationer; to explain the court order and the terms and conditions of probation in detail; and to obtain the signature of the probationer on the special probation contract he or she will be expected to honor during the probationary period (see Appendix, PRO Form 1). The probation contract differs from the supervised release contract in several distinct ways. First, the probation contract is much more specific in detailing the duties and responsibilities of the probationer. Second, the list of proscribed activities is expanded. Third, certain legal conditions (i.e., waiver of extradition in the event of arrest in another state) are specified. In general, the probation contract includes conditions very similar to terms and conditions of probation used by most probation departments throughout the nation.

After intake is completed, the information gathered is transferred to the post-trial evaluation codesheet (see Appendix, PRO Form 2) for use in the on-going Des Moines program evaluation. Much of this information is provided through the use of the initial intake interview (see Appendix, PRO Form 3).

b. *Assignment.* After intake procedures are completed, the unit supervisor assigns the case to one of the probation agents in the unit. In assigning cases to the various agents in the unit, the supervisor considers the size of each agent's caseload, their relative skills, counseling styles, and other relevant characteristics in order to match clients and agents as effectively as possible. Thus, for example, the age, race, and sex of an agent might be considered in assignment of a client, or information about a client's response to a particular style of counseling during the pre-trial period might be utilized in making the assignment.

c. *Supervision.* The probation agent is expected to become familiar with each case prior to the initial meeting with the probationer following intake. This often entails discussing the case with the PSI investigator and—if the probationer was in the pre-trial supervised release program—the supervised release counselor.

The initial meeting between the agent and the probationer focuses on a general re-examination of the probationary contract. It is then signed by both the probationer and the agent. Then the agent begins the task of defining the probationer's needs and developing a suitable treatment plan. The treatment plan, which is similar to the one used by the supervised release component (see Appendix, SR Form 7), lays out short-term and long-term goals and a tentative program for meeting the probationer's needs. (See description of treatment plans, in paragraph III, 8.3.)

The level of probationary supervision required varies from probationer to probationer according to the attitude, need, and deficiencies of the individual. Some probationers are only held to a minimum supervisory program that requires relatively few face-to-face contacts with the agent. Such cases are handled routinely through a basic short form monthly report (see Appendix, PRO Form 4) which is filled out with the probationer. Other probationers may need close supervision and extensive assistance in addressing the problems that led to their criminal behavior.

Employment is a key part of most treatment plans. Probationers who need assistance related to employment are referred to the job development and placement team that serves clients of both the supervised release component and the probation unit. The job development and placement team has the resources to assess the probationer's interests, skills, and abilities, and to refer clients to training or educational programs as well as to specific jobs. Unemployed probationers are helped to find suitable jobs and underemployed probationers are helped—if they are interested—in obtaining better jobs or in upgrading their skills (see above).

The probation agent is also responsible for identifying appropriate community resources to meet any other needs that the probationer might have and for initiating referrals to those services and agencies. In this regard, the probation agent's role is very similar to the role of the supervised release counselor. In fact, in those instances where one of the supervised release component's clients is subsequently convicted and placed on probation, the original treatment plan developed by the supervised release counselor is often incorporated into the probation contract and periodically updated during the probationary period.

The probation agent is also responsible both for monitoring the client's progress in obtaining and maintaining employment using other community resources and for providing on-going counseling to the probationer.

Finally, in those cases where the court places offenders on probation but—as a condition of probation—commits them to a state hospital or other therapeutic environment, the probation unit is

responsible for monitoring their progress and for participating in determining when they are ready to be released. After release, the agent in charge of the case provides continuing supervision to the probationer. As part of the supervision process, the agent may maintain regular contact with the treatment agency and build continuing care for the probationer (on an out-patient basis) into the treatment plan.

d. *Developing and implementing a restitution plan.* In Iowa, all probationers convicted of a crime where a victim is involved are responsible for paying restitution to the victim. The responsibility for developing and monitoring the implementation of restitution plans is, therefore, an important part of the probation unit's task.

All offenses alleged to have been committed by the probationer are subject to investigation during the development of a restitution plan—including offenses that never resulted in formal charges or trial. After the investigation is completed, the probation agent—with the assistance of the PSI investigator—computes the actual cost of the crime to the victim, determines the amount the probationer can reasonably be expected to contribute to restitution, and establishes a restitution payment plan that is signed first by the probationer and then submitted to the court for approval (see Appendix, PRO Form 5 for examples of restitution plans).

The probationer submits all restitution payments to his or her probation agent, who in turn deposits them in a special account. Interest earned on such deposits is treated as interest on the basic debt. If the financial situation of the probationer changes during the probationary period, the restitution plan may be altered to reflect such change, subject to court approval. If the loss incurred by the victim is covered by an insurance company that has rights of subrogation, a formal plan is not written. Such cases are handled through memoranda to the court explaining the details of the payment plan. Payments made to insurance companies are typically monitored by the probation agent.

A special program, Restitution in Probation Experiment (RIPE), has been set up under the probation unit to test the purposes of restitution. This federally funded program is designed to determine whether the receipt of restitution will influence the feelings of a victim about the crime and the criminal. One test group of probationers and victims will be selected to participate in the experiment. This group will become involved in an interesting process whereby the restitution plan will be drawn up during a face-to-face meeting between the probationer and the victim. The restitution process will then follow the normal pattern, with the probationer paying a certain amount to the unit each month and the money placed in escrow earning interest until either the end of the probationary period, or, if the court so directs, until the debt is paid in full. At the end of the restitution period, the participating victims will be compared with other victims receiving restitution to test the effects, if any, of the face-to-face negotiating process.

e. *Revocation.* Continued participation in the probation program is contingent upon the client's strict adherence to a probation contract which includes a set of conditions. Performance is monitored by the probation agent assigned to the case. The agent has the authority and duty to report to the judge and county attorney any re-arrests of probationers. However, due to the nature of the Des Moines program, there are several remedies short of revocation available to the agent. In fact, while re-arrest normally is sufficient grounds for revocation, the agent is not bound to revoke a re-arrested probationer in all cases. During the summer of 1974, seven probationers were on what amounted to "double probation"—they were serving probationary sentences for two separate offenses. However, a re-arest on an offense involving violence or injury to the victim usually warrants revocation.

Some of the alternatives available to the agent in lieu of revocation include incarceration in the county jail, placement at the Fort Des Moines facility, or commitment to the local mental health facility for observation. Use of Fort Des Moines is a frequently used alternative because it allows for continuance of the probationer's treatment and restitution plans while, at the same time, providing a more controlled environment for the probationer. Such conditional placement is used as a "cooling off" device to encourage a probationer to abide by the conditions of his sentence, and requires court approval.

If lesser remedies fail to bring about an acceptable shift in the probationer's attitudes and behavior or if re-arrest on a subsequent charge warrants revocation, the agent may resort to the formal revocation procedure. A "probable cause" hearing is first held to determine if grounds for a formal revocation hearing exist. Formal revocation proceedings involve a hearing presided over by a judge and the normal rules of due process apply. The probation agent is required to submit a report of violations (see Appendix, PRO Form 6) which details the sentence and charge, the probation

history, the specific probation rules and conditions violated, a summary of the violations, any additional relevant information, and sometimes includes a recommendation for appropriate action.

Revocation is never automatic. The court is informed by the unit within 48 hours of any re-arrests of probationers (see Appendix, PRO Form 7). If the court considers that a revocation is warranted, a complete report of violations must still be prepared and submitted. The agent also confers with the judge about the individual case. If probation is revoked, the judge may or may not hand over the probationer to the state correctional authorities. If he does, the complete records of the probationary period and any other program contacts are made available to the Department of Corrections.

f. *Discharge*. When the probationary term—in the case of probationers with deferred sentences—has been successfully completed or when the probation agent decides that a probationer with a suspended sentence is qualified for discharge, the case is discussed with the unit supervisor. If the supervisor concurs with the recommendation to discharge, the probationer's file is brought up to date, all restitution accounts are prepared for closure, and a discharge order is prepared for signing by the court, county attorney, sheriff's department, or probation department, etc., (the type of sentence dictates the signatures required). The order is then submitted to the court and the other relevant law enforcement or correctional agencies for approval. Upon approval, the probationer is discharged from probation. (See Order of Final Discharge, Appendix, PRO Form 8.)

With regard to issues of authority, probation agents in the Des Moines program are not probation officers in the strict sense of the term. While they indeed have the power to revoke probation for cause (with court approval) and are bound to monitor and supervise the individual probationer during the probationary period, agents are not formal officers of the court with special law enforcement powers. They do not carry badges or weapons.

The Des Moines unit evolved from a system that previously included both probation and parole functions at the state level, with local municipalities assuming only the general law enforcement function. As the need for local probation supervision arose, the present system developed and took its place in the Department of Court Services. In practice, there are no binding experience or training qualifications or civil service restrictions placed upon the probation agent position. Agents are trained on the job and are provided with a continuing program of skill development and in-service training.

D. Community Correctional Facility (Fort Des Moines)

The following discussion describes the operations of the Fort Des Moines Men's Residential Correctional Facility. The Department of Court Services also operates a Women's Facility. However, Iowa state laws, which limit to one month the time in which a woman can be held in a local jail facility, have forced the Department of Court Services to structure its residential program for women in a manner which may not be relevant to other communities. Thus, the following discussion focuses only on the men's facility.

1. *Purpose*. The purpose of the Fort Des Moines residential correctional facility is to function as (1) a non-secure institution operating as an alternative to penal confinement, relieving the overcrowded Polk County jail and state prisons; (2) a correctional facility providing rehabilitation programs to criminal offenders in the Fifth Judicial District; (3) a work and educational release center supervising clients engaged in employment, educational programs, and vocational rehabilitation programs outside the institution; and (4) a short-term pre-trial detention facility geared to providing detainees with services to help them qualify for pre-trial supervised release.

2. *Administration.*

a. *The physical design and setting of the institution.* The Fort Des Moines facility is located in a remodelled two-story army barracks at Fort Des Moines, a military reservation located at the edge of the city of Des Moines. The institution uses none of the physical security devices usually associated with institutions which house convicted felons. That is, there are no bars or security screens, no fences, and windows are of ordinary glass with no special locking devices.

The first floor of the Fort Des Moines facility consists of staff offices and one large room separated into two areas of equal size for community living. In one half of the community living area, the clients are provided with equipment for playing such games as cards, checkers, chess, pool and table tennis. The other half of the community living area contains a color television set, sofas, and easy chairs. Vending machines, located in the community living area, supply clients with cigarettes, soft

drinks, candy, and coffee. Pay telephones used by clients are also located on the first floor. In fact, the community living area is characterized by its "openness," which promotes and encourages communication between and among staff and clients. It is difficult for clients to isolate themselves from the staff or other clients in the community living area.

In contrast, the second floor of the facility, which consists of the client living quarters, was designed to provide individual clients with a degree of privacy. There are 32 private bedrooms—each housing one client—and several larger rooms which can house up to 18 clients in groups of threes or sixes. All rooms have locking doors, and clients carry the keys to their respective living quarters. Clients are allowed to furnish their own rooms. Stereos and radios are permitted in the rooms, but use of them is limited by the rules of the facility. In order to enjoy these privileges, clients must keep their rooms and effects in order. Inspections are conducted daily. Besides providing a sense of privacy not always present in an institutional setting, the room arrangement places a reasonable limitation on the number of persons who can be housed in the facility at any one time.

The overall facility plan purposely excluded space and equipment for such activities as recreation, education or vocational training, forcing the staff to make maximum use of existing community resources. The goal was to demonstrate that correctional facilities located in or adjacent to cities need not make huge capital investments in classrooms, shops, gymnasia and infirmaries. As a result, the Fort Des Moines facility operates as a community-based residential institution, highly dependent upon the resources and services of the surrounding community.

b. *Organization and staffing.* Fort Des Moines is under the control of the Director of the Residential Services Division of the Department of Court Services. The Director supervises the overall administration of the facility and, with the Assistant Director, ultimately approves all operating procedures adopted for the facility. (He also assumes the same responsibilities for the Women's Facility.)

As of September 1975, there were twenty-nine salaried staff members at Fort Des Moines. This includes the director, two supervisors, four case counselors, one intake agent and court liaison, a volunteer and education coordinator, ten desk officers, three drivers, a job developer, a voc-rehab specialist (on loan), an employment security specialist (on loan), a maintenance foreman, a purchasing agent, and two secretaries.

The Assistant Director for Fort Des Moines is responsible for the day-to-day management of the facility. His duties include overall supervision, directing the maintenance and purchasing operations, and monitoring the activities of the in-house job development unit. Finally, together with a Volunteer Coordinator, he structures the volunteer program which provides support and assistance to the facility.

The lines of authority extend from the Assistant Director to the casework supervisor and the security supervisor who direct the activities of the two operating units of the program—treatment and security. The counselor supervisor is responsible for managing the counseling staff; consulting with individual counselors around major decisions affecting clients, including termination discharge and parole; and all case assignments. He also carries a limited counseling caseload.

There are five staff counselors—an intake counselor and four case counselors. The intake counselor is responsible for liaison with the court in matters involving individual clients, including placement at the corrections center; transfer to another facility (e.g., county jail); work release and work furlough authorization; and discharge, parole, or termination approval. He also conducts intake and orientation for all clients entering the facility, and he participates with the counselor supervisor in making counseling assignments. He does not carry a caseload.

The four counselors are responsible for the clients assigned to them. This involves assisting them in the development of their treatment plans—the stated goals of a client in modifying his behavior while at Fort Des Moines—and in providing them with the services and resources to enable them to realize those plans. Counselors also are ultimately responsible for client discipline, including the granting of privileges and the imposition of restrictions. Finally, counselors are responsible for administering client files, writing restitution plans, and collecting and distributing payments to victims.

The desk supervisor is responsible for the general security of the facility, including supervision of all desk staff, "floating" staff, and drivers. He is responsible for scheduling security staff hours and the routing and maintenance of vehicles.

The desk staff person has responsibility for control of the institution at all times. He or she is placed at the front entrance of the facility and is charged with the responsibility of signing clients in and out of the institution (see Appendix, CCF Form 1), recording in the log the attitudes and

activities of the clients, and checking visitors in and out of the building (see Appendix, CCF Form 2). Periodic visitor searches may be requested by the desk staff person to check for contraband. Shifts are tightly scheduled so that at least one staff member is functioning at the desk 24 hours a day.

The floating staff person functions as an independent staff member circulating throughout the institution, observing client behavior, taking a count of all clients each hour (called the "eye check"), and recording the count in the log (see Appendix, CCF Form 3). If the eye check results in a discrepancy between the number of clients present and the number of clients supposed to be in the facility, an investigation is made to determine the reason for the discrepancy. If the missing client(s) cannot be located in the institution, the director of the Fort Des Moines facility is notified. At least one staff member is functioning on a "floating" basis 24 hours a day.

The drivers are responsible for transporting clients to and from all scheduled activities outside the facility, including all work release, school release, and community recreation and entertainment. Drivers also transport clients for any special purposes—medical, mental health emergencies, etc. Drivers transport only those clients who are authorized to leave the facility.

The job development unit is comprised of three members: a job developer, a vocational rehabilitation specialist (on loan from the Vocational Rehabilitation Services Division of the Iowa State Department of Public Instruction), and an employment specialist (on loan from the Iowa State Employment Service). The job developer is responsible for assisting in the evaluation of client vocational potential, for identifying jobs suitable for client placement, for placing clients in employment, for monitoring client performance during employment, and for fostering and maintaining the relationship of the program to business and organized labor.

The vocational rehabilitation specialist assists in the vocational diagnosis of clients and refers clients to educational and vocational diagnostic and rehabilitative services. He assists clients in enrolling in institutions of higher learning and makes use of local Department of Labor programs in those efforts.

The employment specialist is responsible for assisting in the identification of suitable job opportunities by making the resources of the state job bank available to the clients, and in the placement of clients on jobs through the introduction and referral services of ISES.

The maintenance foreman is responsible for the overall maintenance of the facility and the grounds. He also is responsible for the on-going renovation activities undertaken at the facility. He also supervises the in-house work of those clients who are not employed outside of the facility.

The purchasing agent handles the requisition of equipment and supplies used at the facility, and the two secretaries handle the basic clerical functions carried on at Fort Des Moines.

The volunteer and educational coordinator is responsible for the recruitment and training of all volunteers, and coordinates volunteer activities with client counselors. She also assigns clients to GED classes.

In addition to this staff, the correctional facility has access to the services of a consulting psychiatrist who conducts psychological evaluations of many clients during their orientation period and provides the counseling staff with advice and direction in their counseling and treatment activities.

All operations staff members are responsible for observing and recording the behavior of individual clients. The behavior observation reports are placed in the appropriate counselor's file (see Appendix, CCF Form 4). A record of each client's visitors is also kept and placed in the appropriate counselor's file. Although the paperwork involved in the process of behavior observation, recording, and evaluation increases the workload of both counselor and custodial staff, it is believed that the continuous feedback to counselors of information concerning the behavior of their clients aids in the entire treatment process.

The hiring and firing policies of the facility are geared to three innovative premises. First, the full-time staff of the facility is largely non-professional in terms of experience in corrections, although approximately one-half have college degrees. The non-degreed staff includes part-time students, former convicts, and persons with considerable knowledge of "the street". The program consciously seeks to maintain the balance between professional and non-professional staff.

Second, in keeping with the staffing philosophy of the Department of Court Services, an attempt is made to keep the racial composition of the staff in line with the racial composition of the client population. This is difficult because staff and client turnover are obviously unrelated; nevertheless, there is a conscious effort made to achieve racial balance on the staff.

Third, in a break with traditional concepts about correctional facility staffing, there have always been females on the staff at Fort Des Moines (at least

25% of the staff). Medical care duties have usually been handled on-site by a female nurse, and there have been female desk officers and counselors as well. Although the majority of clients are convicted felons, there have been no significant incidents involving female staff. In fact, female staff members have had no more difficulty in relating to and controlling the clients than their male counterparts.

Fort Des Moines also makes use of volunteers. Tutoring, crafts training, and supportive counseling are just a few of the many services that volunteers have provided. More importantly, volunteers have been involved in public relations efforts including a recent general community open house at the facility and other promotional efforts geared to give an honest picture of the program and its success. Local interest has been so strong that it has become necessary to hire a Volunteer Coordinator to structure and schedule the activities of the volunteers.

The use of non-professional staff at Fort Des Moines does create some problems, but it is the judgement of the Department's director that it has brought about many positive results. Less experienced staff members, as a group, have tended to be more oriented toward serving people (problem solving) and less oriented toward system preservation. They also tend to promote innovation in program development. It is the opinion of the project director that the willingness of staff to experiment, to develop new concepts and to innovate is the primary factor which distinguishes the Fort Des Moines corrections approach from more traditional corrections methods. Communities interested in developing a corrections facility similar to Fort Des Moines should carefully weigh both the costs and benefits of using non-professional staff.

Chart 3 indicates the organizational structure of Fort Des Moines as of September, 1975. (The organization of the Women's Facility is also included.)

c. *Rules and regulations governing administration.* The clients at Fort Des Moines are expected to participate actively in their own rehabilitation, much like their counterparts in other treatment-oriented components of the Des Moines program. There is no room for trouble makers at Fort Des Moines, nor is the program designed to control the dangerous offender. It exists as an alternative to the more secure environments of county jail and state prison. As presently constituted, it does not attempt to replace those environments, but to complement them. It does so by providing a full program of training, educational release, work release, and counseling for the convicted offender who is neither stable enough to be granted probation nor dangerous enough to warrant placement in a state institution. Apart from their reasons for being there, the Fort Des Moines residents share some striking similarities. For one thing, clients are young. A random check of the facility in summer 1974 revealed that over 40% of the clients were 20 or younger, and 75% were under 25. And, while 80% of the clients are felons, they are normally first offenders or persons with relatively insignificant adult criminal records. Only a small minority of Fort Des Moines clients have ever served time in one of the state penal institutions.

Fort Des Moines is run like few correctional institutions in the United States. The approach taken toward behavior control at Fort Des Moines is perhaps best described in the contract signed by every client who is accepted into the facility (see Appendix, CCF Form 5). In that document the client learns that the program was designed for the man who is ready to "make a change in his lifestyle but may need some help." He is told that he will be expected to work and participate in the activities of Fort Des Moines. If he just wants "to put in his time," there will be no place for him at Fort Des Moines, and he will be returned to the Polk County jail or state prison. The contract goes on to recite the privileges available to clients and the duties and responsibilities that must be performed if the privileges are to be enjoyed.

The general provisions outlined in the contract are described in greater detail in the regularly distributed Rules and Regulations memo (see Appendix, CCF Form 6) which explains the "do's and don'ts" of life at the facility. The memo is often updated to reflect changes due to a relaxation or tightening of rules.

An examination of this document reveals that there are four activities which are not tolerated at Fort Des Moines—fighting, drinking, drug possession or use, and escape. Clients guilty of these offenses are subject to immediate return to the Polk County jail. (A client guilty of escape is also subject to a term in the Iowa Men's Reformatory.) Apart from these and a number of other offenses, there are few proscribed activities at Fort Des Moines.

Clients are allowed free access to most of the facility and they are allowed to use the equipment in the community living area. However, in order to remain at Fort Des Moines and enjoy the benefits and services it provides, they must become actively involved in a program of rehabilitation and treatment. The failure to maintain a significant level of performance is one of the most serious offenses a

CHART 3—Fort Des Moines Facility

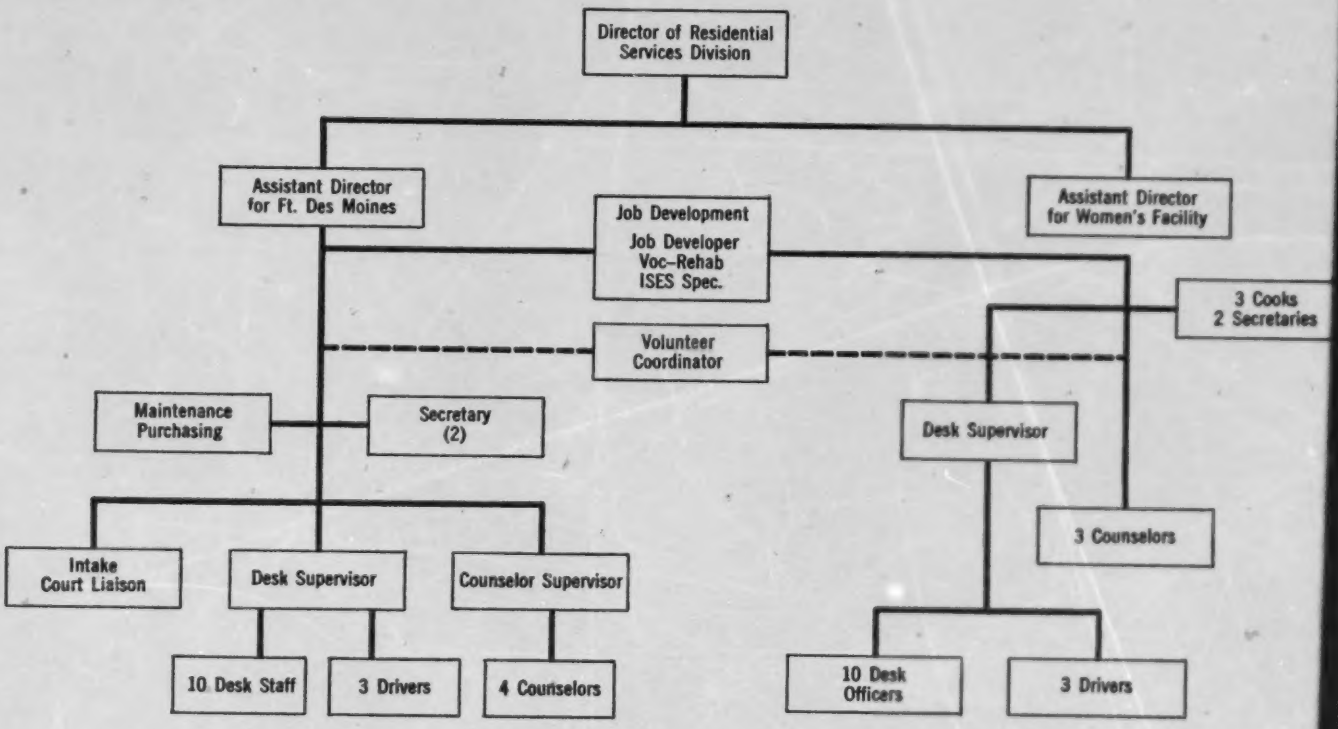


Chart 3. Fort Des Moines Facility

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CHART 3—Fort Des Moines Facility

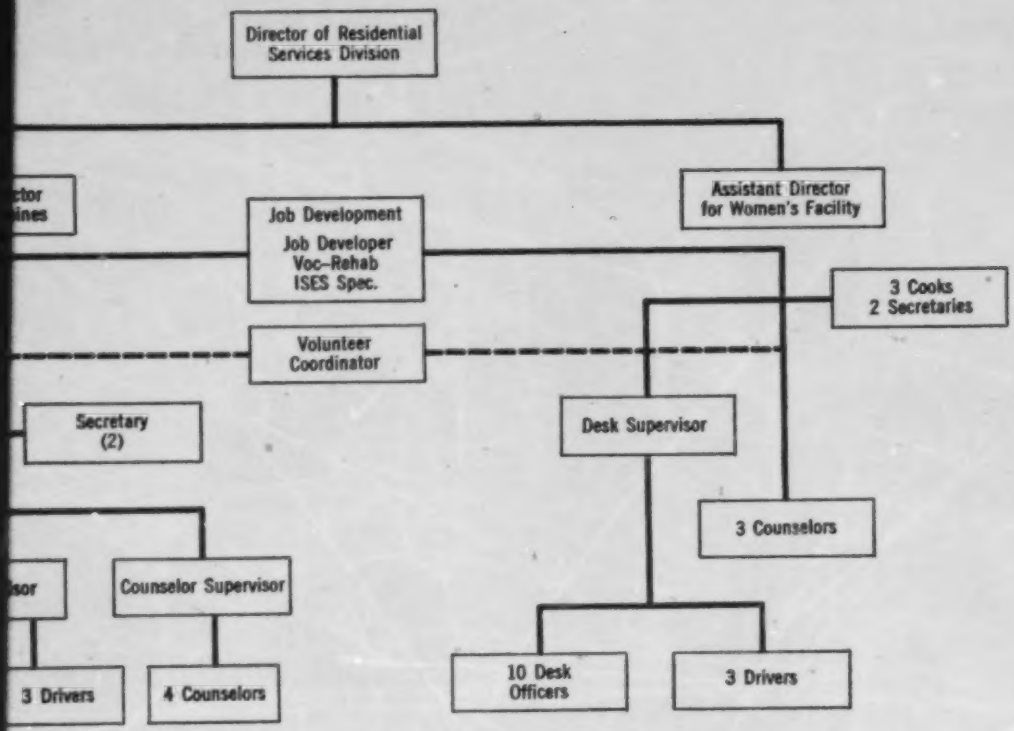

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Chart 3. Fort Des Moines Facility

client can commit. It, too, subjects him to immediate return to the Polk County jail.

As the above discussion suggests, there are relatively few traditional control measures in operation at Fort Des Moines. Nevertheless, fights are rare (the program is aware of only one fight in the four year history of Ft. Des Moines), drug or alcohol use is virtually non-existent, and escape—a relatively simple undertaking—is hardly ever attempted.

Both staff and clients attribute the lack of serious incidents to the program itself. Since the facility exists only as an alternative to more severe institutional settings and since clients must actively cooperate or return to those settings, control is maintained primarily through the threat of revocation and client peer pressure. If this threat is not enough to ensure adequate behavior on the part of the client, he is transferred to the county jail. In some cases, clients will be given a "second (or even a third or fourth) chance" to make it at Fort Des Moines. When returned to the facility, a previously troublesome client will often be ready to abide by its rules. In the case of serious or continued breaches, revocation of assignment to Fort Des Moines is final.

With regard to the issue of control, two things should be remembered. First, the majority of clients appreciate the opportunities the program provides and try to make use of them. (One client, who appeared to speak for this majority, said during an interview, "Fort Des Moines is the greatest thing that has ever happened to me, and I am not going to blow it.") Second, Fort Des Moines and facilities like it exist only as one part of the broader spectrum of corrections. Fort Des Moines succeeds in part because more rigorous penal settings exist to house and treat the more dangerous or uncooperative offender. If there were no alternatives to Fort Des Moines, such as county jail and state prison, its effectiveness would likely be reduced.

3. *Process.* Fort Des Moines, as one of the program's treatment-oriented components, shares many of the procedures used in other components. There are eight elements of the Fort Des Moines process:

- Selection and Placement
- Intake
- Orientation
- Treatment Planning
- Counseling
- Job Development
- Maintenance of Relationships with Courts and Law Enforcement
- Termination

a. *Selection and placement.* The court makes the ultimate decision to place a convicted offender in the Fort Des Moines facility. However, judges often involve the Department of Court Services in making this decision. It is not uncommon for any number of sources—the PSI investigator, the defense attorney, the court, or other interested parties—to request a sentencing recommendation from the program. In these cases, the residential correction center's intake agent interviews the offender to assess his personality and his potential for success in the residential treatment program, and consults with the PSI investigator (if a PSI report is being prepared) to gain further insights into the background of the potential client. When he has finished his inquiry, the intake agent submits a recommendation to the court analyzing the appropriateness of the offender's placement at Fort Des Moines.

The normal process used by the court to place a convicted offender at Fort Des Moines is to sentence the person on the charge and then to suspend the sentence on the condition that he will agree to a voluntary commitment. As in probation, the convicted offender is always aware that the suspension can be lifted at any time for cause. In addition, a small number of misdemeanants are also sentenced directly to Fort Des Moines.

In a few cases, the Fort Des Moines facility has also been utilized for pre-trial defendants and/or pre-sentence offenders who have been selected as potential supervised release clients, but who can qualify for that component only in the more structured environment provided at Fort Des Moines.

The actual logistics involved in a client's placement at the facility include: the receipt by the program of an order directing the transfer of the client from the county jail to Fort Des Moines (see Appendix, CCF Form 7), the obtaining of a certificate of release from the court clerk's office, the presentation of this certificate and the order to the jailor to secure the client's release, and the immediate transfer of the client to the facility.

b. *Intake.* Arriving clients are referred to the intake agent for processing. The agent normally begins the process by setting up the client file and filling out the various reporting forms, including the evaluation codesheet (see Appendix, CCF Form 8) and file facesheet (see Appendix, CCF Form 9). He also begins the file checklist (see Appendix, CCF Form 10) which will ultimately note all of the forms

and records which are included in the client's file during his tenure at Fort Des Moines. The average tenure of a client, barring revocation, is between four and seven months.

After the administrative procedures are completed, the agent begins the process of integrating the client into the program. First, he carefully reviews with the client the rules and regulations which control life at Fort Des Moines. He explains the privileges that are earned by compliance with those rules and regulations—weekend furloughs away from the facility, visitors, work release, permission to keep a radio or stereo in the facility—as well as the penalties that are imposed for noncompliance—general house restrictions, forfeiture of all privileges, temporary or permanent return to county jail, reinstitution of the original sentence order, and transfer to state prison (revocation).

Next, the agent goes over the basic performance contract with the client. Any stipulations imposed by the court or recommended by the PSI report are added. These may vary from a restitution order to a suggestion that the client refrain from any contact with a certain friend or relative. The contract represents the initial step in the development of an overall treatment plan for the client. It is updated by the client and his individual counselor throughout the course of treatment. Both the intake agent and the client sign this original contract, and it is dated and placed in the client's file. Within 48 hours, the intake agent and the supervisor of counselors meet to discuss the case and assign the client to a counselor. Assignment of the client concludes the intake process.

c. *Orientation.* The orientation period is unique to the Fort Des Moines operation and is considered to be a vital part of the residential treatment program. During orientation, the client is not allowed to look for work and he does not receive any of the normal privileges of the facility. Rather, he undergoes a general educational, vocational, attitudinal, and behavioral evaluation by his counselor, who conducts the orientation.

At the outset, the client is made to participate in his own orientation. First, he is directed to write a short autobiography. He is then expected to begin to develop his own treatment program and to indicate why he believes such a program would benefit him. Both of these preliminary exercises provide the program with valuable information about the client and his feelings of self-worth. They also tend to give insights into the relative levels of performance and achievement that can be expected of the client, thus helping to structure his eventual treatment plan.

The orientation process also involves the assessment of client needs and the commencement of the basic services program. To this end, the client is directed to fill out an employment application to be used in the job development effort. If necessary, the new client is interviewed by a vocational rehabilitation counselor (loaned to the Department by the state Vocational Rehabilitation Services) for the purpose of defining possible goals in the programs outside the institution. In this interview, the vocational rehabilitation counselor attempts both to evaluate the client's intellectual and vocational skills, and to define what type of program might be most beneficial to him—vocational training programs, educational programs, or direct employment placement. Clients are often referred to the local MDTA Career Exploration Center for a diagnostic analysis of their latent skills and interests.

The client is also interviewed by the job developer who handles most job placement activities at the Fort. Working with the client's employment history and any formal evaluations that are available, the job developer tries to develop a basic employment plan which is incorporated into the eventual client treatment program. Employment plans differ depending upon the intelligence, skills, and experience of the individual client.

Another element of the orientation period is the psychiatric evaluation of most new clients by the Des Moines program consulting psychiatrist. In interviewing clients, the psychiatrist focuses upon the client's interests, his background—including any past psychological problems—his attitudes, his environmental stability, and his employment history. At the conclusion of the interview, the psychiatrist prepares an evaluation report identifying any potential danger areas of personality or behavioral disorder. The report may also recommend specific directions for treatment and counseling to take. The psychiatric evaluation is used by the intake counselor to further expand the development of the treatment program and to assist in the assignment of the defendant to the most appropriate counselor.

The orientation period usually lasts for a week to ten days. At the end of that period, the intake agent meets with the counselor supervisor to discuss the client's background, the results of the various evaluations made of him, and his potential for success at Fort Des Moines. If they decide that a client is not likely to fit into the program and benefit from it, there are several alternatives that are available to them. They can request that the court

transfer the client back to the county jail, to the state prison, or to a special treatment program. If they feel that the client needs intensive specialized treatment, they rely on the same mental health, alcoholism, and drug abuse treatment resources that are used by the other components of the program. The process of completing such transfers is accomplished by petitioning the sentencing judge to transfer the defendant to the appropriate location and obtaining an order to that effect (see Appendix, CCF Form 11).

The decision to assign a client to a particular counselor is never an easy one. Care is taken to choose the counselor who can best serve the need of the client. Moreover, since it is the policy of the residential services component that counselors be held accountable for the performance and behavior of their clients, the decision is a critical one for both client and counselor.

The program believes that if counselors are held accountable for their clients, they will have to take an active role both in assisting clients and in monitoring client performance. Thus, at Fort Des Moines, performance is required not only of clients but also of staff. Much of the success of Fort Des Moines has been attributed to this approach. In a sense, a counselor and client not only enter into a contract for future performance, but also establish a partnership for delivering that performance.

The strict requirements of accountability at Fort Des Moines operate to instill a sense of purpose in all who work and live there. Other communities should consider such an approach to correctional treatment in developing components similar to Fort Des Moines.

d. *Treatment planning.* A treatment plan is developed for each client who resides at Fort Des Moines. If followed, this plan is expected to result in the rehabilitation of the client and his successful reintegration into society. As a result, much of the intake and orientation period is devoted to collecting enough information about the client to formulate an adequate plan. Once the client is assigned to a counselor, this process continues at an accelerated pace.

In one sense, the client treatment plan is similar to those developed for participants in the supervised release and probation components. However, because of the greater needs of the average Fort Des Moines resident and the increased control and authority over the client exercised by the facility and the case counselor, the Fort Des Moines treatment plan has become a more structured and directive rehabilitative tool.

In another sense, the treatment plan is a further extension of the original contract which the client makes with the program during intake. A client who fulfills his end of the agreements specified in the contract usually is ready for release. The emphasis is placed upon the client "doing more than time." He is expected to participate actively in what amounts to a restructuring of his life. Basically, the treatment plan consists of both a series of behavioral goals to be met by the client and an ordered plan of action which he must follow in meeting those goals. It is thus a blueprint for his rehabilitation and eventual reintegration into society.

Although the client and his counselor actually develop the treatment plan, they rely heavily upon the work of those who participated in assessing the client's vocational, educational, and behavioral development during the orientation process. Those assessments help to identify the changes which the client (and his family) must make in his life before he can properly function in society. They also indicate something about the client's capacity to make those changes. Both counselor and client use that information to tailor an individualized treatment plan which reflects his special needs and capabilities.

Goals may relate specifically to the crime a client committed. For example, a client convicted of grand theft auto may have, as one long range goal, the purchase of a car. Or a goal may relate to a family or social relationship. For example, a client who is overly dependent on his mother or father and not used to accepting responsibility for his own decisions will work towards increased independence and altered family relationships. Or a goal may relate to the client's personal appearance: a goal of an obese client may be to lose weight. What matters is that the goal be *realistic, desired, capable of being achieved, and client-specific.*

While treatment plans are individualized, they all share certain common elements. First, everyone at Fort Des Moines must work. This means that a client must either hold a full-time job in the community on work release or attend classes and work at the facility on a full-time or part-time basis. Typically, over 90% of the residents of Fort Des Moines are employed through its work release program. Second, everyone at Fort Des Moines must plan the use of his income. Priorities are spelled out in the client's treatment plan. Typically, they include family support, restitution to the victim of the crime, repayment of prior debts, payments of room and board to Fort Des Moines, and saving for a long-term goal, such as the purchase of a car.

Third, everyone is required to abide by the rules and regulations governing life at Fort Des Moines. Failure to do so will result in punishment, regardless of any progress the client may be making in other areas of the treatment plan.

The treatment plan is developed and finalized during a client's first three weeks at the facility. From then on, all of his actions at Fort Des Moines are measured in terms of the plan. A client who faithfully works toward the established goals set out in the plan can expect early release. A client who fails to work toward those goals can expect to be terminated from the program and returned to county jail or, in some cases, sent to the state prison.

The treatment plan approach is an important element in the Fort Des Moines correctional philosophy. By identifying realistic goals, it encourages each individual client to adjust his behavior to the actual demands of the broader society. By stressing performance, it emphasizes actions over attitudes and, therefore, does not force the individual client to restructure his personality to fit into a certain institutional mold. By being individualized, it allows each client to proceed at his own pace while conforming his actions to the requirements of the institution.

e. *Counseling.* After a treatment plan has been developed with the client, the counselor is responsible for working with the client to implement the plan and for monitoring the client's progress and achievement. To provide this kind of assistance to the client, the counselor calls upon both the resources within Fort Des Moines and those located in the community and available to the general public.

In identifying community resources and services that are appropriate for the needs of particular clients and initiating referrals, the Fort Des Moines counselor functions in the same way that the supervised release counselors and the probation agents function. That is, the counselor works with the client to define particular needs or problems that may be obstacles to effective functioning and rehabilitation, identifies a public or private agency that provides suitable services, initiates a referral, and monitors the client's progress by maintaining contact with the agency and, through counseling sessions, with the client.

Client counseling in the Fort Des Moines program takes two forms: "triad" or group counseling and individual one-to-one counseling.

Approximately twelve of the residents—or clients—may be involved in triad counseling at any one time. They are organized into four groups of three members each. The three man group—or triad—is the basic counseling unit. The members of each triad share a single sleeping room at the facility.

Triad counseling attempts to modify the behavior of individual clients through a system of collective responsibility and intensive peer pressure. Triads meet each week to discuss individual and collective problems and needs. The counselor assigned to work with the triad brings the clients' files to the meeting and draws actual examples of the clients' behavior from them to stimulate discussion. If a client has received negative reports from the staff of Fort Des Moines, his employer, or any other agency in the community, he is required to explain that behavior to the other members of the triad and to the counselor. Since the negative behavior of one member of the triad may result in the loss of privileges for all three members, the other two members have a vested interest in their roommate's actions. The triad system is based on the assumption that the members of each triad will attempt to express and protect their individual interests by exerting peer pressure to conform. Such pressure is also encouraged by offering triad members group privileges, over and above those available to individual clients, when all three members of the triad behave positively and make significant progress towards the goals laid out in their treatment plans.

The majority of the clients at Fort Des Moines are involved in individual counseling, which places the primary emphasis upon the one-to-one relationship between client and counselor. It is characterized by the mutual responsibilities of each as outlined in the treatment plan.

Counselors meet with their clients on a regular basis—usually once or twice a week. These meetings consist of an evaluation of the on-going performance of the client both at and outside of the facility. Positive performance qualifies a client for the privileges available at Fort Des Moines. These include increased visitation privileges, increased participation in outside activities (e.g., movies, sports, concerts), special room privileges (e.g., bringing in a stereo or a radio), work or educational release, weekend furlough, and ultimately, discharge and parole. Negative performance can result in the loss of privileges earned previously, temporary or permanent transfer to country jail, or removal to a state institution.

Counselors also have a number of administrative responsibilities. Each counselor is expected to monitor the client's financial affairs while he is in the program. This includes working with the client to

set up a general budget to take care of family support, restitution, debt payment, and room and board fees; collecting and disbursing funds to cover the client's bills; and settling any other money issues. Counselors are also responsible for reviewing all staff observations of a client and summarizing them in the client file (see Appendix, CCF Form 12). They are further required to note and record all correspondence received by the client (see Appendix, CCF Form 13), and to note and record the reasons for any specific privileges granted or restrictions imposed. Finally, the counselor is responsible for informing the court of all significant changes in the client's status and for seeking court approval of various actions pertaining to the client. Certain privileges, for example—specifically those which enable the client to leave the facility without supervision, such as work release (see Appendix, CCF Form 14), school release (see Appendix, CCF Form 15), or furlough (see Appendix, CCF Form 16)—require a court order before they can be granted.

The counselor is the sole person responsible for keeping his clients' files in order and he is held accountable for them. At any point during a client's tenure at Fort Des Moines, it is possible to get a clear picture of what he has done since he entered the facility and what he is expected to do during the remainder of his stay by merely going through the client file.

The Fort Des Moines case counselors operate out of a single office located on the first floor of the facility. This arrangement encourages them to discuss their caseloads and their counseling techniques. Like their counterparts in supervised release and probation, most Fort Des Moines counselors are not professionally trained although many have college degrees. In the opinion of the program's administrators, the mixture of degreed and non-degreed counseling staff tends to promote an atmosphere of mutual appreciation, with counselors able to gain insights and expertise from each other. A certain esprit de corps *has built up among counselors which further strengthens the overall program.*

f. *Job development.* No client is paroled or discharged from Fort Des Moines unless he has a job, and no client remains at Fort Des Moines for long unless he works. Thus, if the client/counselor relationship provides the skeleton for the Des Moines treatment approach, job development is its backbone.

There are three key elements in job development: diagnosis, placement, and employer relations. Each, in a different way, involves the close cooperation of the job development team, the individual client, and the counselor. Each is also geared to the ultimate goal of the program: the placement of the client in permanent employment which will continue after he leaves the facility.

Each client is evaluated by the job development team during his orientation to Fort Des Moines. This process begins with a basic employment interview with the job developer to learn of his employment history, his interests, and his aspirations. He is instructed to fill out an employment application form (see Appendix, SR Form 12) which is kept on file and used by the job development team for future reference.

Since one half of all clients enter Fort Des Moines without a high school diploma, the job developer also frequently encourages the client to enroll in the GED classes available through the program. Since almost all clients enter with a poor work record, the job developer explains the "graduated job placement" process that the program utilizes and describes how it works. This initial interview provides the job developer with a general sense of the client's skills and interests and where he might be placed.

After the initial interview, the client is interviewed by the vocational rehabilitation specialist. Depending on the client and his interests, the voc/rehab specialist may administer a series of tests to determine client vocational and intellectual skills, he may refer the client to the local Career Exploration Center for a complete vocational diagnosis which takes from one to three weeks, or he may enroll the client in one of the various technical training programs available in Des Moines. If a client shows interest in education, he may assist him in enrolling at the local community college classes either on a part-time basis at night or full time. Funds can be made available through the state vocational rehabilitation agency to defray educational expenses. No training is provided at the Fort Des Moines facility itself. All referrals made by the vocational rehabilitation specialist are to programs or institutions which also serve the larger community.

The job developer and vocational rehabilitation specialist discuss the potential of each client with his counselor. Their diagnosis shapes the future employment activities of the client at the facility. This process of diagnosis continues after the orientation period. When a client finishes training or succeeds at an entry level job, the job developer and voc/rehab specialist will consult with the coun-

selor about new directions which the client may take.

The job developer has the primary responsibility for placing clients in employment. However, individual clients are only placed in jobs outside of the Fort Des Moines facility when the counselors determine that they are ready for it. That is, work release (placement in a job in the community) is a privilege that must be earned by the client, and until he is ready for outside placement, the client will be expected to work at the facility. For this work, which includes the general maintenance and ongoing renovation of the facility, clients are given credit toward the basic $5.00 per day room and board fee charged to all clients who reside at Fort Des Moines. (Although the daily fee is $5.00 per day, clients pay according to their ability. The amount paid by an average client is $2.00–$3.00 per day.)

Clients who work at the facility are expected to report to the maintenance foreman at 9:00 a.m. and to work during the day. Clients who sleep late, fail to show up, or perform badly on the job are denied the privileges of the facility. No one wakes a client up or orders him to work; clients are responsible for their own activities. If they shirk their responsibilities, they suffer the consequences. Clients who refuse to work are transferred back to the county jail on a temporary or permanent basis.

When the counselor feels that a client is ready for work release, the counselor informs the job developer. The job developer identifies an appropriate position for the client, either from his own employer files or through the job bank of the employment services specialist. Once a potential job is identified, the job developer contacts the employer, explains the client's situation, and asks to have the client considered for the position. If the job requires an interview, the job developer may accompany the client and, if necessary, discuss the situation further with the employer. If the client is hired, the job developer records this fact in his files and begins to monitor the client's job performance. For his part, the client is expected to maintain a good attendance record, to do the work required of him, and to behave properly while on the job.

Clients on work release are taken to and from their jobs on a scheduled basis in correctional facility vans. The vans leave on time whether or not the clients are ready. In order to maintain a job for any length of time, a client must see to it that he is ready to go when the van leaves. If a client is fired for poor attendance, he loses his privileges. Poor job attendance is considered one of the main employment problems faced by clients at Fort Des Moines. By conditioning the enjoyment of privileges on good work attendance, the program tries to build incentives which will ultimately serve to assist the client to overcome this problem.

Before the job developer places a client in any employment position, he must be assured by the employer that the client will be treated as any other person hired for the job off the street. He relies on these assurances in monitoring the job performance of all clients on work release. Typically, the client decides whether he wants to tell his co-workers that he is a convicted offender.

The job developer regularly contacts employers to inquire about client job experiences. He checks on the client's performance and his attitude on the job. If it appears that a client, placed in an entry level job, can handle a job which requires more responsibility, the job developer may seek to place him in a higher level job. Or, after a client handles a series of short-term jobs well, he may be considered ready for full-time employment. In each case, the industrious client is moved through a series of jobs until he can hold his own at a position which complements and broadens his skills. As a client's work responsibilities and salary increase, so do his chances for parole or discharge.

The graduated employment approach works both ways. A client who appears to be reluctant to work up to his potential may be kept at an entry level job for a longer period than his abilities warrant and may be denied those privileges which he could otherwise enjoy. At the same time, a client who has difficulty performing at one level is never moved to a higher position. The principle directing graduated placement is that no client should be allowed to move from a lower level to a higher level unless he has adequately performed in that lower level to the best of his abilities. In this way, no client's abilities are overextended, and no client is rewarded for mediocre performance.

Much of the success of Fort Des Moines is due to the relationship it enjoys with the local business community. Since over 90% of all clients are regularly employed on work release, jobs must continually be identified and generated. This would be impossible without the cooperation of local businessmen.

The person at Fort Des Moines who is responsible for fostering and maintaining this relationship is the job developer. He is the primary contact between the program and the business community. These contacts are actively maintained through outreach efforts (by identifying and contacting likely

businesses for client employment); through placement efforts (by placing clients in jobs and monitoring their on-going performance); and through follow-up (by establishing and maintaining longer term cooperative arrangements between the program and the employer).

The job developer uses a variety of means to identify jobs. A primary source is the Iowa State Employment Service (ISES) Job Bank which is available at the facility through the ISES employment specialist. Each day the statewide microfiche listing of available job openings is received at the facility. By examining this list, the employment specialist and the job developer can identify appropriate jobs for clients awaiting placement. However, since many businesses are reluctant to hire the inmates of a correctional institution, the actual number of placements that can be made through the job bank is limited.

Another source used by the job developer is the program's own job bank, which consists of files on every establishment which has hired Fort Des Moines residents since the work release program began. Each file contains the firm name, the employer or contact person, the type of work, and a listing of the various jobs available by skill level. The job developer periodically updates a firm's file—noting eagerness or reluctance to accept placements, relative fairness to clients, general turnover rate, and seasonality of hiring. The job list has proven to be the source of most placements made by the job developer.

A third source of jobs is generated by the job developer through unsolicited contacts. He does this by regularly phoning or visiting businesses in the Des Moines area which may have a need for the type of employee available at the Fort. Generally, these are industrial concerns which maintain a number of semi-skilled or non-skilled positions. The approach he uses is to explain the program and his role in generating jobs. He then inquires if the business would consider hiring Fort Des Moines clients. In most cases, the employer or personnel manager will have heard of the Des Moines program. If he is receptive and willing "to take a chance," the job developer leaves his card or number and asks that he be contacted when there is an opening available. A considerable number of businesses that eventually accept client placements were originally solicited in this manner. The program has also been supported by the on-going efforts of local employer associations and labor unions, especially the United Auto Workers. In addition, as the program has grown, it has become its own best public relations agent. Satisfied employers are eager to accept more clients and often extoll the virtues of the program to their associates who, in turn, call the program in search of employees.

Although the program currently enjoys good relations with the business community, the job developer must work conscientiously to maintain those relations. To this end, care is taken to insure that relationships with individual employers are not jeopardized by improper placements. The job developer must, therefore, be very candid when making job referrals. This means informing an employer of a prospective employee's crime, his general demeanor, and his likelihood for success on the job. It also means strict monitoring of client performance. Finally, it means carefully assessing a client's attitudes and abilities before he is placed on a job.

Although the job development program at Fort Des Moines has been highly successful, certain important facts about the situation in Des Moines should be recognized and understood. First, Des Moines is a highly industrialized area and also supports a high level of agricultural production. Hence, there are a wide range of operations which require a large semi-skilled and unskilled labor force. Second, Iowa in general and Des Moines in particular have had unemployment rates well below the national average in recent years. Third—probably due to the first two factors—the Fort Des Moines employment program has, from its outset, had a considerable amount of support from both business and organized labor. All of these facts tend to help the program. Not every community shares Des Moines' good fortune in this regard. Communities that contemplate a Fort Des Moines-type program should first consider the employment climate in their area and then tailor their program to fit it.

g. *Maintenance of relationships with the courts and law enforcement agencies.* Strong cooperative working relations exist between the Department of Court Services and the other elements of the local criminal justice system. These relationships must continue if the Department is to continue functioning effectively. The role of the Fort Des Moines facility is particularly critical in the maintenance of good relations between the community corrections program and the courts and law enforcement agencies of the Fifth Judicial District.

As a local correctional facility which complements the county jail and state prison systems, Fort Des Moines must maintain a unique partnership with the courts to continue to exist. Both jails and state prisons are granted a level of autonomy over

prisoners when they receive them. In most cases, when a court sentences an offender to a state prison, it transfers all jurisdiction over that offender to the state penal system. In the case of Fort Des Moines, however, an offender is placed in the facility by the court in lieu of more secure incarceration, either for a specified term or as a "voluntary" condition of probation. In so doing, the court retains jurisdiction over each client sentenced to the facility and must be kept abreast of all activities in which the client participates. In a sense, Fort Des Moines operates as an arm of the court, much like the probation component, although within a much more controlled setting.

In practical terms, this fact has several implications. First, it means that specific requests must be made and specific orders granted for any client to leave the facility without staff supervision. As noted above, all work releases, school releases, and furloughs must be authorized by the court. It also means that the program is required to provide the court each Tuesday with a weekly roster of the scheduled daily activities of each client during the rest of the week (see Appendix, CCF Form 17). This roster informs the court of the name and address of each client's work release or school placement and the times and days of that placement. Thus, the court is made aware of the location of every client who is authorized to leave the facility during the week. The same is true of weekend furloughs. In addition, all actions which tend to terminate the relationship between the client and the program in any way must first be authorized by the court. These actions include temporary or permanent commitment to the county jail or state prison, placement in a therapeutic treatment center, parole, and discharge.

As Fort Des Moines has established itself in the community, the courts have become more receptive to the placement of higher risk offenders in the facility. Like the other elements of the Des Moines project, the Fort Des Moines program is committed to the extension of its services to as many persons who can benefit from them as possible. At the same time, the program recognizes that Fort Des Moines is not a panacea, nor can it accommodate relatively high risk defendants in any appreciable number. As such, the program has resisted the placement of known troublemakers and is quick to revoke any clients who present significant control problems. It is in the interest of both the court and the facility to arrive at an acceptable selection process to insure security and safety while serving the maximum number of persons.

The residential corrections center has also established a number of procedures that serve to foster and promote good working relationships with local law enforcement agencies.

First, the very existence of Fort Des Moines serves to reduce the overcrowded conditions at the Polk County jail which led to its condemnation twice in the past. Since that time, the facility has established a good working relationship with the Polk County Sheriff's Department which has facilitated the constant movement of clients to and from the jail.

Second, in order to elicit the support and assistance of local law enforcement in outside placement of clients, the weekly roster of client placements is given to all law enforcement agencies in the Fifth Judicial District. When an officer observes a Fort Des Moines client in the community, he can refer to this roster to determine whether his presence at that location and at that time is authorized. The roster is a part of the computer dispatch services of the Des Moines police force which serves other local law enforcement agencies.

Finally, since none of the staff at the facility are officers with law enforcement powers, the facility must rely on the local law enforcement agencies for protection in the event of any serious emergency. To date, this service has been needed only in rare cases. But it is available, and forms an additional link between the facility and law enforcement agencies.

h. *Termination.* Various methods of temporarily or permanently terminating the relationship between Fort Des Moines and the client have been mentioned, including removal, revocation, parole, and discharge. Each has distinct administrative procedures associated with it and each serves particular purposes in the program.

- *Removal* is the temporary or permanent transfer of a client from the facility to the Polk County jail as a result of a general infraction of the rules and regulations governing the administration of the facility. These infractions may include the refusal to work or to participate in the treatment program, the repeated commission of a general infraction (i.e., gambling, possession of contraband) or the commission of a single serious infraction (escape, possession or use of drugs, drinking, fighting). The extent to which removal is temporary or permanent depends upon the nature of the offense, the circumstances surrounding the offense, and

the prior performance of the client. The ultimate resolution of the issue is a decision of the counselor, his supervisor, and the facility director. A client can be removed only by a court order. Once the order is granted, the client is transferred to the jail in a Sheriff's Office vehicle. Removal is considered to be a valuable rehabilitative tool to "shock" an otherwise intransigent client into appropriate behavior by giving him a "taste of jail."

- *Revocation* is the process of petitioning the court to vacate the standing order authorizing the placement of a client at the facility and to restore the original sentence which followed the client's conviction. It can be the result of the commission of a serious infraction at the facility or rearrest for the commission of a serious criminal offense while away from the facility. The decision to revoke a client ultimately rests with the director of Fort Des Moines. The process of revocation is the equivalent of a probation revocation. A formal petition is filed with the court, accompanied by a list of particulars outlining the client's performance history, the original conviction, the grounds for the petition, and a full recitation of the facts which justify revocation.
- Revocation requires a full adversary judicial hearing, including the taking of evidence, the cross-examination of witnesses (including the petitioner), and full oral argument and rebuttal.
- *Parole* is the transfer of a client from the authority of Fort Des Moines to the probation component of the Department of Court Services. Parole is warranted when the client, operating under a suspended sentence, is considered by the staff of Fort Des Moines, in consultation with the probation component's supervisor, to have performed well enough to warrant release from the facility. The decision to petition for parole is made by the counselor, his supervisor, and the client. It involves a recognition that the client has modified and improved his behavior to the extent that he is both capable and committed to maintaining the level of performance required of a probationer. As a rule, no client is paroled unless the program has been assured that he will be employed upon his release.

The parole process involves a petition to the court requesting parole and it also requires the acquiescence of both the Fort Des Moines and the probation component. A memorandum, reviewing the performance of the client, must accompany the petition. The petition must be signed by the Director of Residential Services, the client counselor, the judge and the county attorney (see Appendix, CCF Form 18). If the petition is granted, the client and his complete file are transferred to the probation unit. The client counselor normally assumes a consultant relationship with the probation agent to explain the treatment plan and to assure the client's smooth transition from one component to the next.

- *Discharge* is the release of a client from the Fort Des Moines facility on the completion of his term. Convicted misdemeanants are often sentenced to the facility for a specified term. Upon completion of this term, the client is released. Discharge is accomplished by the client's formally petitioning the facility for release on the grounds that his term has ended (see Appendix, CCF Form 19). No formal court order is required on certain discharges because the authority of the court effectively ends on the day the client's term is completed.

  In the case of a client who is sentenced for a specified term, but who demonstrates by his performance that he has effectively and adequately modified his behavior prior to the completion of his term, the Fort Des Moines staff may petition the court for an early discharge. If the court approves such a petition, the client is released from the facility on an early discharge order.

E. Program Administration

This chapter has included a series of detailed descriptions of the structure, administration, and operation of the four components of the Department of Court Services. In addition to these four components, however, the program also includes a number of administrative features and management, fiscal, and evaluation policies that shape its day-to-day operations.

1. *Central administration.* In addition to the staff assigned to the four components, the Des Moines project also has an administrative unit which includes, in addition to secretarial support, three key posts: Director, Assistant to the Director, and Director of Training.

a. *Director.* The Director of the Department of

Court Services is the chief administrative officer of the Des Moines program. He reports to the Fifth Judicial District Court of Iowa on all policy matters and to the Polk County Board of Supervisors on all fiscal matters. He also serves as the program's liaison to other elements of the local criminal justice system. Internally, he assumes responsibility for overall policy direction, chairs all general staff meetings, approves all promotions to supervisory level, and sets the overall tone of the department. The director also is responsible for representing the program before the community at large. As such, he performs a critical public relations function in explaining program operations to citizens groups and government agencies at the local, state and national level. And, finally, the director is also responsible for program funding. As a result, a significant portion of his time is committed to lobbying the state legislature and dealing with federal, state and local agencies.

b. *Assistant to the director.* The Assistant to the Director is the chief fiscal officer of the department. She is responsible for budget management and fiscal control, and administers the central management information system of the department which analyzes and reports on the activities of all components. Her other responsibilities include supervision of the central bookkeeping and clerical staff and screening of all prospective clerical staff hired by the department.

c. *Director of training.* The Director of Training is responsible for staff upgrading and skills development through training. His responsibilities include preparation of the introductory handbook which is used by new staff, development, together with supervisory staff, of component training plans, and the conducting of all major program training sessions. In addition, he has responsibility for supervision of the regional office activities conducted by the department.

2. *Administrative features of the department of court services.* As in most experimental and innovative programs, the operational policies of the Des Moines project have evolved considerably since the program began. Although the "feel" of the Des Moines program has much to do with the attitudes and personal style of the people that developed the program, there are four basic policy areas that reflect the Des Moines approach:

- staffing policies
- management policies
- fiscal policies
- reporting and evaluation policies

a. *Staffing policies.* From its inception, the Des Moines project has been shaped by the attempt to develop a balanced staff. Although many correctional programs are staffed almost entirely by persons having degrees and/or experience in the field of corrections, the Des Moines program takes a different approach. Since much of the focus of the treatment-oriented components is on working in a close counseling relationship with defendants or convicted persons who have special problems and needs, the program specifically seeks out persons who—whatever their backgrounds—can be effective in working with project clients. Thus, the staff of the Des Moines project includes degreed and non-degreed staff, and professionals and non-professionals (including "street people" and ex-offenders). In the supervised release and Fort Des Moines components, in particular, non-professionals have been found to be some of the most successful staff in dealing with clients who are the "hardest cases" any correctional system confronts.

In addition, a conscious attempt is made in the Des Moines project to have the composition of the staff, in terms of sex and race, roughly comparable to the composition of project clients. All components of the program, including the men's correctional facility at Fort Des Moines, are staffed by women as well as men. As of May, 1975, the staff breakdown of the Des Moines program was:

21	Blacks		
2	Spanish speaking	55	Men
77	Whites	45	Women
100	Total	100	Total

In addition to these general staffing policies, there are three additional policies which control hiring and firing. First, potential staff is selected from a pool of applicants and chosen according to the specific training, sex, and race characteristics desired for a specific position. At the present time, the pool of job applicants is so large that applications for staff positions have been closed (see Appendix, ADM Form 1). An oral interview is required of all prospective staff. Second, all hiring and firing is done by each component, with the supervisor of the component given responsibility for staffing decisions. The director of the Department of Court Services reviews and passes on the decision of a supervisor to fire a staff member, but, under ordinary circumstances, he does not initiate the process of termination. Third, except in isolated circumstances, all operational staff—degreed or non-degreed, counselor or security—enter the program

at the same salary level. Promotions are tied to merit and are not necessarily accompanied by major salary increases. Hence, a staff member may earn more than his or her supervisor, depending on length of service. (See Appendix, ADM Form 2, for program salary scales.) No component pays its staff higher salaries than any other component.

The staffing policies of the program have evolved out of the actual needs of the program and the situation that exists in Des Moines. The treatment orientation of the program demands that a relatively low client/staff ratio be maintained. Yet, at the same time, program funding limitations translate into a relatively restricted salary scale. Forced to hire non-experienced staff to achieve the level of staffing needed to make the operation work, the program has turned an apparent liability into one of its abiding strengths by stressing the flexibility and commitment of the staff over its inexperience.

The unique staffing pattern of the Des Moines program also owes much to the governmental employment policies in Des Moines. First, the department was not tied to civil service regulations partly because of the fact that much of it evolved out of a Model Cities project. Thus, ex-prisoners and "street people" were not excluded from employment because of academic deficiencies. Second, the evolution of the probation agent and counselor positions resulted in a situation in which no strict state or local regulations controlled hiring. Thus, although probation staff positions do not carry law enforcement officer status (as they do in many jurisdictions), they can be filled by persons who would not qualify for them in other states.

b. *Management policies.* Although program direction and policy setting is the ultimate responsibility of the director of the department, many of the policies which control program operation are developed through a participatory process. Each week, supervisory level staff meet to discuss program direction. Out of these meetings come the on-going policies which control overall program operations (for example, see Appendix, ADM Form 3). One of the decisions which came out of this process was the separation of the PSI and probation supervision functions into two operations, each headed by a separate supervisor. At the same time, regular staff meetings are held by the supervisors of each component to go over the day-to-day operations of the component. Both of these types of meetings are also used as training and peer review sessions.

In addition, a number of training modes are used to maintain an appropriate level of program management. First, all new staff are introduced into the Department on a rotational basis. Thus the new staff person is assigned for a short period to each component to meet its staff and to learn, on-the-spot, how the component operates. Second, the Director of Training develops, with staff supervisors, methods of providing on-the-job-training for both new and experienced staff. Third, it is a policy of the Department to have general staff retreats which serve both to train and upgrade staff members and encourage the ventilation of staff grievances and complaints. In the past, these sessions have been used to sensitize all staff to the human issues which confronted the program. Plans for future retreats reveal that the emphasis has shifted to training in the more technical counseling and interviewing skills required of the staff. This shift in emphasis was the result of a staff request.

The use of a participatory process of decision making does present some problems for the Department. It takes longer to arrive at decisions, and it does lead to the generation and distribution of additional paperwork. However, both the Director and the staff of the project feel that when people are allowed to participate in the decisions which touch their lives and work, they tend to follow-up on those decisions more readily. Also, since a great amount of bureaucratic red-tape is made unnecessary by the unified structure of the Department, (i.e., a number of diverse though interrelated programs are administered within one department), the extra time taken by staff involvement in decision making is not significant, and tends merely to offset the savings of time caused by the program's unified structure.

In addition, the Director of the Des Moines project emphasizes that staff participation is simply the necessary reverse side of the flexibility of approach and commitment that underlie the program's success. If staff is to be creative and innovative in working with the specific needs of individual clients, it must be allowed to take an active part in shaping the policies and procedures of the program as a whole.

c. *Fiscal policies.* Although all program funds flow through the Polk County budgetary apparatus, the fiscal administration and management of the Department is the responsibility of the Department staff itself. The budgetary affairs of the Department are administered through the office of the Assistant to the Director. All program components have separate operating budgets. Procedures have been established internally for recording most staff expenditures, including telephone calls, use of department vehicles, related business travel, etc., much as

they would be for an independent operating entity. Budget expenditures are thus identified on a component basis (see Appendix, ADM Form 4 for a breakdown of 1973 component expenses). This permits on-going fiscal monitoring of the program. Components which are operating over budget are identified before problems arise. At the same time, components which have been underbudgeted in one year have their budgets adjusted, where possible, in the following year. In cities or counties which have a wide variety of departments, agencies or boards, it is often difficult for a centralized fiscal agent (e.g., the county auditor) to provide the type of current fiscal information needed for on-going planning. Local budget divisions are often understaffed, and are not usually familiar with the operations of the departments which they audit. Thus, the fact that the Department of Court Services includes its own fiscal capability adds to the flexibility of program planning.

d. *Reporting and evaluation policies.* The various reporting forms and procedures controlling the operation of the Des Moines program have been discussed throughout this chapter. In each component, a specified set of forms and procedures is used. When completed, some forms are kept by the component, while others are sent for monitoring and evaluation purposes to the central office. The Assistant to the Director is ultimately responsible for the internal monitoring and evaluation purposes to the central office. The Assistant to the Director is ultimately responsible for the internal monitoring of the program and for complying with local and federal reporting requirements. In addition, central records are kept on each client who passes through the program. A basic filing system has been set up to organize all of the information generated by the project (see Appendix, ADM Form 5). Monthly (see Appendix, ADM Form 6) and yearly (see Appendix, ADM Form 7) reports are prepared for the project and are distributed not only to local and federal authorities but also internally to each component supervisor to help him monitor the month-to-month performance of his component.

In addition to these reporting activities, the Research Center of the National Council on Crime and Delinquency has evaluated the Des Moines project for several years. (Chapter II was devoted to a discusion of the results of that evaluation.) A number of significant program changes have been made because of the findings and recommendations of the evaluation. Among these have been the recommendation to locate the supervised release selection team at the pre-trial release office rather than at the supervised release office. (This seemingly innocuous suggestion has been instrumental in reducing the time from arrest to release from 3–5 days to less than 2 days.) The evaluation also led to the recommendation that the pre-trial release interview be adjusted to reflect the perceived importance of both a clean record and extended residence in the Des Moines area (this recommendation is expected to cause an increase of ROR release without an appreciable rise in the failure to appear rate).

CHAPTER IV. THE DES MOINES COMMUNITY CORRECTIONS PHILOSOPHY

This section of the handbook examines the philosophical or theoretical bases of the Des Moines Community Corrections Program. It discusses the consistent themes that run through all four of the program's components and which integrate those components into a single, coordinated program.

Although the various components of the Des Moines Community Corrections program are tailored to the needs of persons involved in different stages of the criminal justice process, there are several philosophic themes that underlie the program as a whole. These themes, in both implicit and explicit form, constitute the "Des Moines approach" to community corrections. Correctional programs in other communities also share many of the philosophic assumptions of the Des Moines program, but in Des Moines, a conscious attempt has been made to translate a series of correctional theories into an integrated program approach.

There are five key elements in the Des Moines Community Corrections philosophy:

- Coordination
- Individualized Treatment Planning
- One-to-One Counseling
- Employment Emphasis/Job Development
- Use of Existing Community Resources

A. Coordination

As in most other communities, correctional programs evolved gradually in Des Moines over a number of years. The development of the four Des Moines components took time, and the various components were originally administered by different public and private agencies. The pre-trial release (ROR) component began in 1964, and was originally administered and funded by a private organization, the Hawley Welfare Foundation. Supervised release was publicly funded through the Des Moines Model Cities Program, beginning in 1968, but the component was originally administered by the private National Council on Crime and Delinquency. The two elements of the probation component—presentence investigations and probation supervision—were incorporated into the program in 1971 from two separate public agencies, the Iowa State Bureau of Adult Corrections and the Polk County Probation Department (which supervised probationers convicted of indictable misdemeanors). Only the community correctional facilities (Fort Des Moines and the Women's Facility) were originally planned, implemented, and administered by the Department of Court Services when it was established in 1971.

Although the four components of the Des Moines program took shape at different times and as different administrative units, a key factor in the program's success has been the gradual coordination of the original components. For the past several years, all four Des Moines components have been operated by a single administrative unit, the Fifth Judicial District Department of Court Services.

The *administrative coordination* of the Des Moines program is displayed in the following organizational chart (Chart 4). The Director of Court Services has administrative responsibility for all four of the program components. Reporting to the Director are two Divisional Directors, one who monitors the operation of Community Services (ROR, Supervised Release, and Probation), and one who has responsibility for Residential Services (the community correction facilities). Under these Division Directors are the supervisors of the four program components.

Although the Department of Court Services provides correctional programs to all 16 of the counties which make up Iowa's Fifth Judicial District, final administrative responsibility for the program rests with the Polk County Supervisors rather than with the judiciary. All funding for the Des Moines program is routed through the Board of Supervisors of Polk County (Des Moines is located in Polk County), and the Board also hires the Director of Court Services and sets salary levels for Department of Court Services employees.

Although the judges of the Fifth Judicial District do not have direct administrative control over the

CHART 4—Organization Chart of Des Moines Community Corrections Project

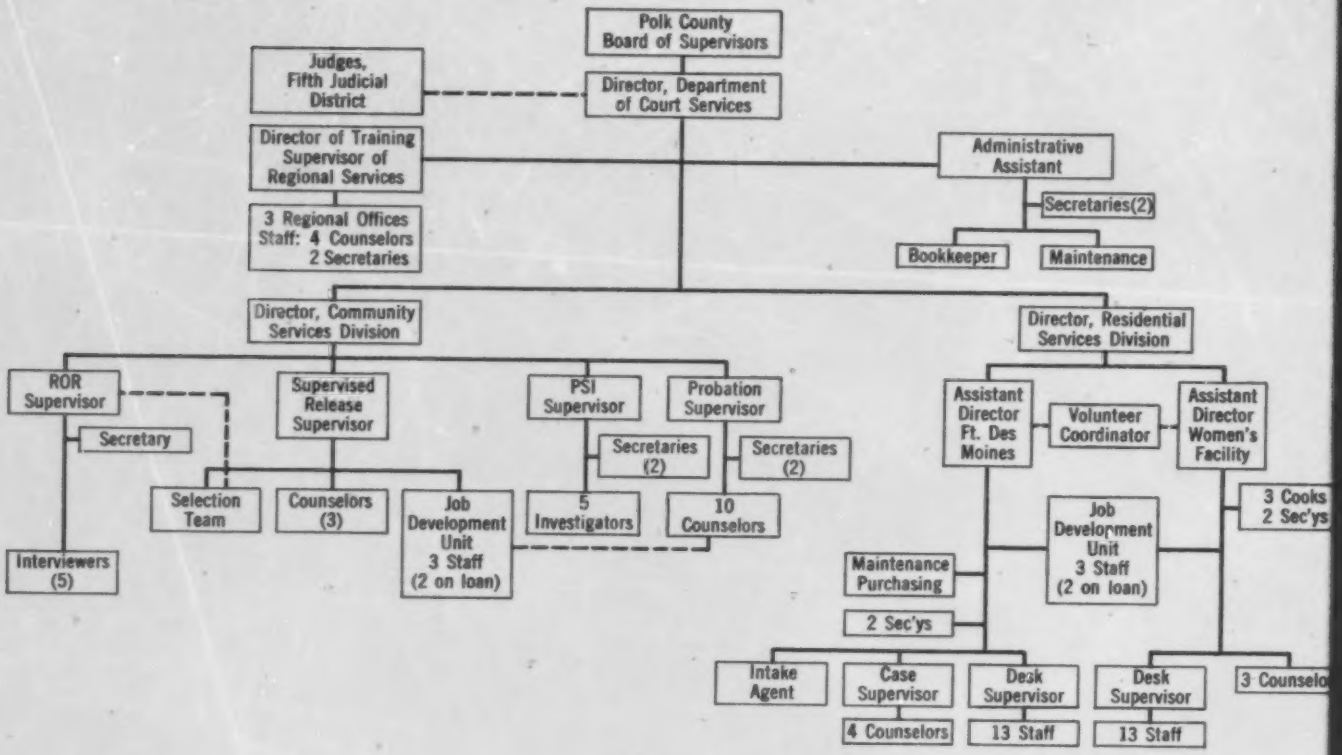
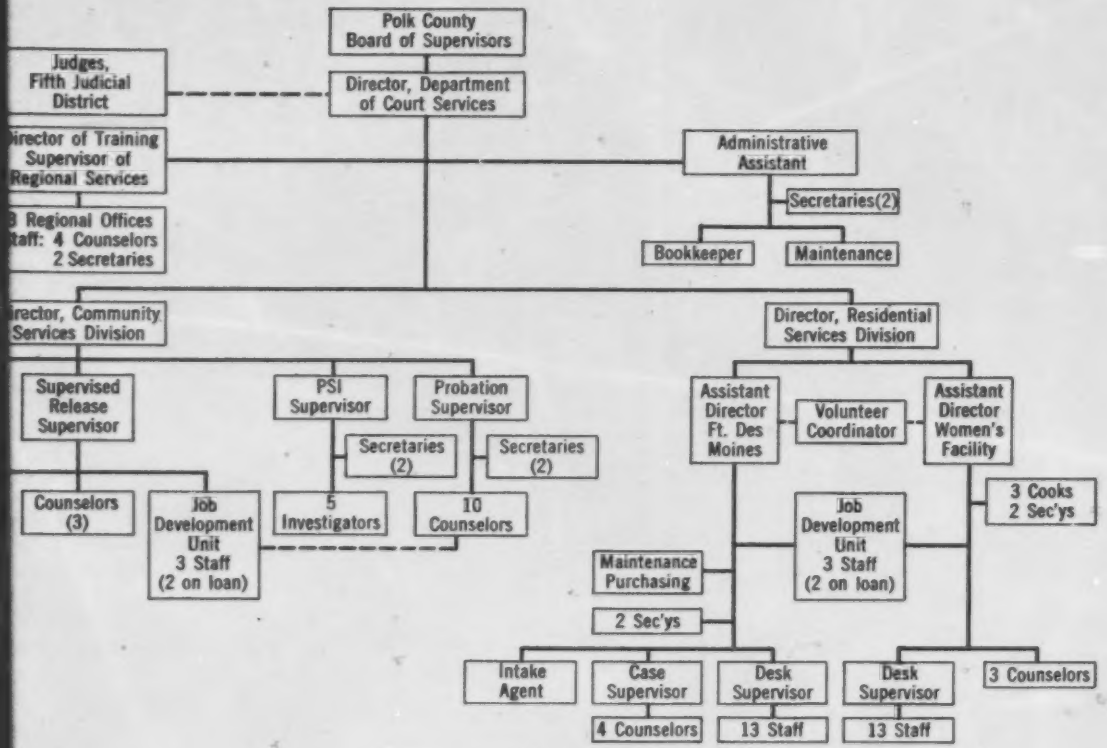


CHART 4—Organization Chart of Des Moines Community Corrections Project



Department of Court Services, they do participate—both formally and informally—in the development of policies for the Department. Since all of the four components of the program depend upon judicial cooperation (defendants can be released on their own recognizance or into the custody of local supervised release staff only with the approval of a judge; and only a judge can place a convict on probation or commit him to the Fort Des Moines facility), the staff of the Department of Court Services and the judiciary work closely together.

In addition to the administrative coordination of the Des Moines program which is achieved by having one administrative unit (the Department of Court Services) operate all four correctional components, the program is also *functionally coordinated.* This functional coordination takes place in a number of ways: *information sharing* between components is used to provide a continuum of correctional services to persons moving through the criminal justice system; *rotation of staff* from one component to another is used both to broaden the skills of staff members by introducing them to a wide range of correctional tasks and to make the staff of each component more sensitive to the needs of clients and staff alike in each of the program's four components: *weekly staff meetings* and a *departmental newsletter* are also used to bring the staff from all four components together and to inform them of the procedures, problems, and successes of other components.

On a day-to-day basis, the functional coordination of the Des Moines program goes to the heart of what an integrated community corrections program is all about. For example, when a defendant is interviewed for possible release on his own recognizance, an interview form (see Chapter III) is filled out. This form contains considerable data about the defendant, his place of residence, his employment, the names of his closest friends or relatives, etc. If the defendant does not qualify for ROR, the interview form is given to the staff of the supervised release component. This sharing of information eliminates the need for the supervised release staff to ask the defendant the same questions asked earlier by the ROR staff. It thus gives the supervised release staff a base of information from which to develop a subjective interview.

An extension of this functional coordination can also be seen in the development of client "treatment plans." (Treatment plans are discussed in greater detail below.) When a defendant is released into the custody of the supervised release component, a treatment plan is drawn up with the defendant. It sets out specific pre-trial objectives: e.g., holding a job, receiving marriage counseling, participating in a drug or alcohol treatment program. If the defendant is convicted of the crime for which he is charged, the treatment plan is typically continued during the pre-sentence investigation period. The plan itself, together with other information which program staff has gathered about the defendant, is given to the staff person who is conducting the PSI. A report on the progress which the defendant made during his supervised release period typically is included in the PSI report. After sentencing, this functional coordination continues. If the judge places the offender on probation, the supervised release treatment plan often continues in effect as the probation staff member begins to work with the probationer. The original treatment plan may be modified as the needs of the probationer change, but in each case the new treatment plan draws on information and plans developed by other component staff members. If the offender is sent to Fort Des Moines, the process works in a similar manner. Objective data and treatment plans developed by the staff of other components are sent to the counselor who will be working with the client at the Fort. Earlier treatment plans are modified as short term goals are achieved and new ones are identified.

Functional coordination of the type which takes place in Des Moines can, of course, exist in a correctional system which is not operated by a single administrative unit. And a program which is administratively coordinated may fail to achieve true functional coordination. But the Des Moines experience seems to indicate that a program which combines administrative and functional coordination simplifies the integration of individual correctional components into a unified whole. And the better the coordination, the greater the scope of service delivery. The Des Moines approach emphasises the provision of correctional services at all stages of the criminal justice process. By coordinating the "flow" of services throughout the system, the Des Moines program is able not only to serve more clients, but to improve the quality of the correctional services which those clients receive.

B. Individualized Treatment Planning

Since the pre-trial release component of the Des Moines program is a release-on-own-recognizance project, the only requirement for defendants who are released from jail through the ROR component is that they return for trial; they are not supervised during the pre-trial period. But, with the exception

of the pre-trial release component, the other three parts of the Des Moines program provide treatment services to their clients. Thus, the second key element of the Des Moines Community Corrections approach is the individualized treatment planning which takes place in the supervised release, probation and community correctional facility components.

Although different correctional programs mean different things by the word "treatment," the Des Moines program is based upon a very specific treatment philosophy: *treatment should flow from the disabilities of the offender rather than from preconceived notions of how to change deviate behavior.* As a result, the program makes use of treatment planning which focuses on the individual defendant or offender and his specific, identifiable problems: e.g., unemployment, educational underachievement, lack of vocational skills, health deficiencies, psychological problems, problems with finance management, or family and marital problems.

When a potential client is referred to one of the three treatment-oriented components, the first question thus becomes: Does the client have identifiable life-style problems which have resulted in a low level of self-esteem and which may lead to negative criminal behavior in the future? To answer this initial question, project staff make use of a variety of evaluation techniques:

- *Client Interview.* The first stage in the evaluation of the treatment needs of each client involves an intensive, subjective interview. Unlike the ROR interview, which gathers objective data about the client's employment, residence and criminal justice history, this interview is used to probe the attitudes, problems and concerns of the client.
- *Psychological Evaluation.* Shortly after the client enters one of the program's three treatment-oriented components, the client is interviewed by a staff psychiatric consultant. The results of this interview are then forwarded to the client's counselor in narrative form. This psychological evaluation serves as one of the key elements in the development of the treatment plan.
- *Vocational Evaluation.* Each of the three "treatment" components of the Des Moines project also makes use of vocational rehabilitation counselors who are provided to the program on loan from the Vocational Rehabilitation Services Division of the Iowa State Department of Public Instruction. Through the use of these counselors and through access to other comprehensive vocational testing and evaluation services, the vocational skills of the clients are evaluated and specific vocational needs are isolated.
- *Educational Evaluation.* The educational level of each client is evaluated in terms of academic aptitude, skills, and potential for educational upgrading. In addition to the educational tests administered by staff counselors, the program makes use of the Des Moines Area Community College educational evaluation staff.
- *Testing.* As part of the client evaluation process, the Des Moines project staff administers vocational and educational tests, and makes use of three general tests: the Minnesota Multiphasic Personality Inventory (MMPI-Short Form); the Peabody Picture Vocabulary Test (basic comprehension skills); and the Wide Range Achievement Test (phonetic skills).

Each client who participates in the Des Moines supervised release, probation, or community correctional facilities components must sign a basic *performance contract* as a condition of participation in the program. The performance contract outlines the minimum conditions which the client must fulfill to remain in the program. Failure to abide by contract conditions may result in probation or bond revocation and may lead to the client's return to jail.

Although each performance contract contains a set of standard clauses, the most important part of the contract is the *individualized treatment plan* that becomes a part of the contract itself. On the basis of the client interview and the psychological, vocational and educational evaluations conducted after the client enters a project component, a treatment plan is designed by the client and his counselor. Each treatment plan sets out both short- and long-range goals which are specifically tailored to the individual client and which are aimed at helping the client to overcome those conditions and behavior patterns which may lead to anti-social or criminal activity in the future.

Short-range goals typically address the client's most immediate needs: e.g., health care, crisis psychiatric counseling, shelter, clothing, food. To achieve these short-range goals, the Des Moines project staff may refer the client to one or more of the community agencies in and around Des Moines

which provide these basic services. *Long-range goals* typically focus on the need for educational upgrading, vocational training, and employment. As a result, the treatment plan may call for the client's participation in a wide variety of services: drug or alcohol treatment; marital and family counseling; finance management training; intensive, long-term psychiatric counseling; extended medical care, etc. To help the client achieve these long-range goals, the counselor may refer the client to local educational and vocational programs, to an alcohol or drug rehabilitation program, to medical and psychiatric treatment programs, to marital counselors, or to a wide range of other service agencies. And, most important, the program provides intensive in-house job referral and placement services to every client (see the discussion of job development activities below).

The purpose of the individualized treatment planning used in the Des Moines program is to avoid the preconceived rehabilitation formulae which have often been institutionalized in other correctional systems. By focusing on the specific problems and needs of each client and involving the client in the development of his own treatment plan, the Des Moines program has attempted to eliminate unreal expectations from its treatment approach. Each Des Moines project treatment plan is expected to set out specific actions which the client will take to address specific problems. In this way, the client and his counselor have an explicit set of shared treatment goals to work toward. Through individualized treatment planning, clients and counselors thus develop a specific, case-by-case definition of "rehabilitation," and set realistic goals in order to achieve it.

C. One-to-One Counseling

The third key element in the Des Moines Community Corrections philosophy is the emphasis on one-to-one counseling. As with individualized treatment planning, three of the four Des Moines components—supervised release, probation, and the community corrections facility—make extensive use of one-to-one counseling. When a client enters one of the three treatment-oriented components, he is immediately assigned a counselor. It is the counselor's responsibility to coordinate the psychological, vocational and educational evaluation of the client. The client and counselor, working together, then develop the client's individualized treatment plan.

The client/counselor relationship is vitally important to the entire treatment effort. In working with a client, the counselor performs both structured and unstructured functions. The *structured* functions of the counselor include conducting client interviews, coordinating the testing and evaluation of the client, development of the client treatment plan, coordination of client referrals to local service agencies, the monitoring of the client's achievement of both short- and long-range treatment goals, and the preparation of reports on the client's progress as requested by the court.

In addition to these structured functions, the counselor is also expected to perform a number of *unstructured* functions as well. One of the elements in the anti-social or criminal behavior of many clients is the client's low level of self-esteem and respect, unwillingness to be responsible, and a general feeling that "no one cares." Thus, an effective client/counselor relationship must be one in which the client comes to understand that someone does indeed "care."

In its most simple form, this means that the counselor should be available—not only during scheduled counseling sessions, not only during office hours—to help the client confront his own reality, his own problems. And it means hiring and training counselors—whether professionals or "street people"—who have the desire and skills to work with clients without assuming either an authoritarian or an "all-accepting" attitude. The goal for counselors in the Des Moines program is to say to the client, both explicitly and implicity, "We care about you; now you take the responsibility to care about yourself."

Client/counselor contact is maximized in the Des Moines approach. The frequency with which each client meets with his counselor is determined by two basic factors: 1) the amount of supervision and assistance which the counselor feels the client needs; and 2) the size of the counselor's caseload. Clients in the supervised release component typically meet with their counselor about once a week, and counselor caseloads average about 20–25 clients, a level that the staff of the Des Moines project feel allows for close monitoring and supervision. The caseloads in the probation component average about 55–65 clients, and the staff feels that this level is too high. Even though some probationers (especially those convicted of misdemeanors) require only minimal supervision, the high caseloads are felt to have limited the quality of counseling services. In the Fort Des Moines facility, the client/staff ratio is very low. The component has one staff member for every two clients, and the ability of the staff of the Fort to keep close track of clients is correspondingly high. In addition, the physical de-

sign of the Fort Des Moines facility promotes close client/counselor relationships. Counselors at the Fort do not have private offices, and this fact, combined with the layout of the facility, forces frequent client/counselor interaction.

To help achieve the honest interchange of ideas and concerns upon which effective counseling must be based, the Des Moines program also attempts to recruit and train counselors who share some of the clients' characteristics. An attempt is made, for instance, to have roughly the same percentage of minority members on the counseling staff as are found among the clients. In addition, the percentage of women on the counseling staff is roughly the same as the percentage of the clients who are women. The program does not, however, assign only minority staff to counsel minority clients, nor exclusively assign women counselors to women clients. But it does attempt to offer a counselor population which is generally similar in demographic terms to the client population.

Given the fact that many of the program's clients have more "street education" than formal education, the Des Moines program also attempts to keep a balance of both professionals and "street people" on its counseling staff. And, although the two types of staff bring different skills to counseling, the salary for professional and non-professional counselors is the same. Although this salary policy occasionally causes some friction among the counseling staff, it is felt overall to have strengthened the ability of the program to tailor its services to the actual needs of its clients. (The salary scale for the Des Moines project may be found in the Appendix at the end of this handbook, ADM Form 2.) The importance of the counseling function in the Des Moines program is underscored by one other administrative policy. Because a good counselor may not necessarily make a good administrator, the salary scale for the program has been constructed so that it is possible for some counselors to make a slightly higher salary than a program supervisor. Thus, good counselors do not need to be elevated to tasks which they do less well simply to achieve higher salaries. This salary policy appears to have worked well in the Des Moines program, and it is one more tangible indication of how much importance is placed on the one-to-one counseling function.

D. Employment Emphasis/Job Development

The fourth key element in the Des Moines Community Corrections philosophy is the program's emphasis on job development as a means of increasing the level of client employment. Although the Des Moines program attempts to avoid preconceived rehabilitation formulae, the exception to this rule is the emphasis on employment. The Des Moines program is based on the clear assumption that the maintenance of a good job is the single most important factor underlying positive changes in client attitudes and behavior. In this sense, the Des Moines program is grounded on a belief in work therapy, and considerable program energies are focused on helping clients to find, secure and maintain good jobs.

Job development services are integrated into the three treatment-oriented components of the Des Moines program. Two coordinated job development units are used—one located in the office which houses the supervised release and probation components, and one located at Fort Des Moines. Each of these two job development units is made up of three staff members: a job developer, a vocational rehabilitation counselor, and a representative of the Iowa State Employment Service. Although the three members of each job development unit work together as a team and strict separation of duties is avoided, the job developer generally is responsible for probing the client's employment history, determining the client's current job skills, identifying the client's own employment goals, assisting the client with job applications and interviews, and contacting local employers to generate new job openings for program clients. The vocational rehabilitation staff person assists in identifying client vocational constraints, and refers clients who need vocational training to the appropriate local vocational programs. And the staff person assigned to the program by the Iowa State Employment Services office uses a job bank—a list of available jobs which is listed on microfiche and updated each day—to locate those jobs for which program clients are qualified.

The two job development units work closely with the counseling staff of each of the treatment-oriented components. Given the emphasis in the Des Moines program on one-to-one counseling, the counselor serves as the primary contact person for each client. It is the counselor who coordinates the educational, vocational and psychological evaluation of the client, and develops the client treatment plan. Typically, the counselor will refer his client to the job development unit during this evaluation and treatment planning process.

The degree to which the job development unit works with each client is, of course, determined by the employment status of the client. If the client has

a job with which he is satisfied when he is assigned to one of the program components, his use of the job development staff may be minimal. In these cases, the job development unit will be used by the counselor on a case-by-case referral basis in much the same manner as he makes use of other community resources. However, many program clients—especially those at Fort Des Moines—do not have jobs when they enter the program. Indeed, some have no employment experience at all, while many others have had a series of unrewarding job experiences, holding a job for only a few weeks at a time. It is with these clients that the job development unit works most closely, often working as closely with the client as does his counselor.

The job development process used in the Des Moines program can best be described by focusing on a typical client entering Fort Des Moines, the type of client who generally needs the most employment counseling and job development assistance.

After a brief orientation period during which the client works with his counselor to become adjusted to Fort Des Moines and to develop his performance contract, the client is referred to the job developer at the Fort. During an initial interview, the client is helped to fill out a standardized "employment record" form used by Iowa State Employment Services offices, and the client's presentence investigation report is reviewed. Through conversations with the client, the job developer begins to probe the problems and successes which the client has had with past employment. The employment aspirations of the client are discussed, and areas in which the client has actual skills are reviewed.

In many cases, clients will inflate their descriptions of past jobs or indicate that they have skills which they do not in fact possess. In these cases, the job developer's role is to help the client gradually to cut away unrealistic expectations and practiced excuses about the reasons for past employment failures. The goal is to help the client to take stock of his actual skills and to determine whether those skills are adequate to qualify the client for the jobs which he would like to have. If the client has insufficient skills, the job developer helps the client to identify his two basic options: (1) to take a less attractive job for which he *is* qualified, or (2) to get the educational or vocational training needed to qualify for a more skilled job.

Often, the client will decide to combine these options, by taking a lower skilled job and also participating in educational or vocational training programs. To help the client upgrade his employment skills, the job developer refers the client to the rehabilitation counselor loaned to the Des Moines program by the Vocational Rehabilitation Services Division of the Iowa State Department of Public Instruction. The client may then be enrolled in the local Career Exploration Center, in Vocational training programs, in a GED program, or in higher education courses.

Placement of the client in his initial job is coordinated by the job developer who first goes to his own list of employers and employment openings. Since one of the job developer's prime responsibilities is to truly *develop* jobs, he makes contacts with employers through a variety of means—everything from talking to members of bowling leagues about their firms and job openings, to contacts with employer associations, to "cold turkey" approaches in which the job developer walks into a company, asks to see the personnel director, and explains what the Des Moines project is all about.

If the job developer's own list of employers and job openings does not produce an employment opportunity for the client, the job developer turns to the staff person loaned to the program by the Iowa State Employment Services division. The ISES staff person typically makes use of a job bank system that contains a list of jobs (updated daily) displayed on a microfiche system. The ISES staff person also maintains contact with other staff at the ISES offices to monitor turnover in listed jobs.

When a job is located in which the client is interested, the job development staff helps the client to fill out the necessary application and, in a few cases, attends the job interview. Employers are told that the client is an inmate at Fort Des Moines, but in most cases it is up to the client to decide if he wants to tell his co-workers that he is a convicted offender.

Typical first jobs for clients with little job experience may pay only $2.00–2.50 per hour, but the job development staff at the Fort is also available to help a client who proves that he can handle a low skilled job move up to a higher skilled, better paying job. After a client is hired, the job development staff makes periodic phone and on-site checks with the employer to find out how the client is doing on the job; if the client is having problems at work, the job developer and the client's counselor often work together to try to find a solution.

Since many Fort Des Moines clients have had no positive job experiences, some clients either refuse to work or seek employment with a half-hearted attitude. To these clients, the job development staff makes it clear that Fort Des Moines is intended only for those who want to work and/or receive additional education. (In a few cases, a counselor may refuse to let a client work if he has a special problem that is felt to require special treatment, but this is the exception to the general rule at Fort Des Moines.) A client at the Fort quickly learns that having a job is a prerequisite for privileges at the Fort. Clients who do not have a job typically do not qualify for such rewards as increased visitation, the ability to leave the building, participation in activities out-

side the Fort, overnight or weekend furloughs, and, of course, parole. For clients who eventually indicate that they are simply not interested in working, Fort Des Moines is not the appropriate remedy, and these clients are typically sent to another facility (county jail or state prison).

The emphasis on client employment and job development services is reflected in the high employment rates for Des Moines program clients. Since supervised release clients participate in that component for a relatively short period between their arrest and trial, the range of employment services which they can make use of in that period is limited. Nonetheless, although only approximately 50% of clients entering the supervised release program were employed at the time of their arrest, approximately 80% were employed during their period of assignment to that component. In the probation component, approximately 67% of all clients were employed at the beginning of their probationary period, while 83% were employed at the time of the termination of probation. The results at Fort Des Moines were the most dramatic. Approximately 63% of all clients assigned to Fort Des Moines were employed at the time of that assignment, but fully 95% were employed at the time of their termination. (These figures actually underestimate the program's impact since clients listed as "having a job" actually had the job at the time of arrest. Many of these jobs were lost by the time a client enters a post-conviction component.) In addition, many clients in each component upgraded their employment—moving to higher paying and more skilled jobs—because of job development efforts. Still others received educational training which opened up a wide range of future employment opportunities.

Because the program provides ongoing job counseling and makes periodic follow-up contacts with employers after a program client has been employed, local employers who have hired Des Moines program clients are generally enthusiastic supporters of the Des Moines approach. Several local firms have committed a number of permanent job slots for program clients. From the employer's view, the counseling back-up services and the fact that Fort Des Moines employees are taken to and from work each day often means that program clients are more dependable workers than other employees.

Although Fort Des Moines clients are driven to and from work each day (because of the location of Fort Des Moines and the inadequacy of public transportation), the counseling and job development staff at the Fort make it clear to each client that it is up to him to take responsibility for keeping his job. Counselors do not wake clients up in the morning to make sure that they make it to work. If a client oversleeps, or misses the van which is to take him to work, he must take the consequences, whether it means a day's lost pay or the loss of the job itself. In each of the treatment-oriented components, the attitude taken toward jobs by the staff is that which underlies the program as a whole. Each client will receive the assistance he needs to get a job (or some other service), but the client is expected to take the responsibility which any employed worker must take to keep his job. Help is provided, but client responsibility is expected.

With clients who have little self-discipline and/or little employment experience, the job development staff typically starts the client out in a lower paying job in a field where high turnover is expected by the employer (e.g., a janitorial job). There are two basic reasons for this approach: 1) clients with no job experience have to learn what working itself is all about before they are ready for a higher skilled job, and 2) if a client who has little job experience fails in a low level job, his failure will not endanger the continuing relationship between the program and local employers who provide better paying, more highly skilled jobs. Simply put, the job development staff attempts to place a client in a job which he can handle. Typically, the client's treatment plan or performance contract will indicate that when the client had shown that he can keep a low level job, the job development staff will help him find a higher paying, more skilled job. In each case, the counseling and job development staff attempt to give the client more and more responsibility through better jobs—but only as the client shows that he or she is ready to handle that level of responsibility.

Given the importance placed on client employment in the Des Moines project, it is fortunate that the unemployment rate in the Des Moines area is less than 4% (1974), a rate significantly below the national average. Clearly, communities which have higher unemployment rates will find it more difficult to develop jobs for clients of correctional programs. However, the Des Moines approach clearly indicates the importance of employment as a cornerstone of any rehabilitation effort. For those clients who have been convicted of a crime, a job becomes a personal resource—providing both income and self respect—which will help the client make the transition back into the community at the end of probation or incarceration. For those clients who are helped to find a job or to get vocational training

before trial and then are found innocent, their job is no less a resource—a resource which may prevent a future arrest. The comprehensive evaluation of the Des Moines project indicates that of all the characteristics of the program's clients, the most important in terms of program success is employment. The program's emphasis on client employment and job development activities reflects the importance of that finding.

E. Use of Existing Community Resources

The fifth basic element in the Des Moines Community Corrections philosophy is the program's emphasis on the use of existing community resources. In many communities, correctional services and programs are brought in to the institution itself. Recreational and educational programs are operated in jail, medical services and specialized counseling are brought in to the offender, and jails and prisons may include inmate shops and industries. The Des Moines program takes the opposite approach. It attempts to make the maximum use of those programs, services and resources already existing in the local community. Rather than bring services and programs in to the client, it attempts to get the client out into the community, where the services and programs are offered.

There are two basic reasons for this emphasis on the use of existing community resources: the cost of establishing new services is enormously expensive, and the goal of the Des Moines program is not to help clients learn to function in correctional institutions but to help them gain the confidence and personal skills which will enable them to function more effectively in the community.

The Des Moines program, of course, does provide some services in-house. All three of the treatment-oriented components make use of the services of a consulting psychiatrist, who interviews clients when they enter the program, consults with counselors about specific client problems, and is available in crisis situations. In addition, the program does have two job development units (see page 54) which include on-loan staff having vocational rehabilitation and job placement skills. But with these exceptions, the majority of specialized client services are provided by agencies and institutions which are independent of the Des Moines program.

Counselors in the Des Moines program bear the primary responsibility for referring clients to the relevant service agencies. During the psychiatric, vocational and educational evaluation of the client and the development of an individualized treatment plan (see page 52), the counselor is expected to identify those services or programs in which the client will participate as part of his treatment. Each counselor in the Des Moines program has a list of scores of local agencies and programs which provide services that may be needed by a client. But the counselor is expected to do more than refer to a listing of local community services. As part of his work with a client, the counselor is expected to maintain personal contact with the staff of agencies which are frequently used by program clients. And after a client has been referred to a local agency, the counselor's job is to monitor both the performance of the client in responding to assistance and the performance of the service agency in providing the needed assistance. Thus, the counselor's job is to act as an on-going advocate for the client as he makes use of the local resources and to help cut through the red tape and that may constrain flexible service delivery.

The list of agencies and services to which Des-Moines clients are referred is long and varied. The evaluation of the Des Moines project indicated that the level of resource utilization achieved in the treatment-oriented components was very high. A total of more than 50 separate resources provided over 1,000 services to clients during 1973. Examples of the community services which are most often used by the program are:

- Employment counseling and job placement
- Vocational rehabilitation and training
- Educational upgrading (GED, high school, or community college courses)
- Psychological diagnosis and specialized treatment
- Drug and Alcohol de-toxification, counseling and treatment
- Financial counseling and finance management training
- Medical care
- Legal assistance
- Family and/or marital counseling
- Welfare assistance
- Housing assistance

The decision not to try to build a wide range of services into the Des Moines program was originally based on a simple financial reality: the program could not afford to include a variety of specialized counselors in its budget. Underlying this fact was the awareness that even if the funds for such services were available, the Des Moines program would be providing specialized services on an intermittent basis, and would likely not provide

the quality of services available from a full-time service agency. In addiition, since local service agencies are funded to provide services for all community residents, the program staff felt that those services should be used by clients of the Des Moines Community Corrections program as well as by other local residents.

The strong emphasis on using existing community resources is also based on a correctional philosophy which has shaped the Des Moines program from its inception. This philosophy is grounded on the recognition that nearly all offenders eventually return to the community. As a result, the Des Moines program is aimed at answering the question: *How can the offender (or defendant) be helped to gain the skills and attitudes that will make his return to the community more successful?* And since the client's reintegration into the community is the goal, the program is based on the belief that client treatment should logically take place in the community itself.

Viewed from another perspective, the Des Moines approach is based on the belief that keeping a person in jail prepares that person only to be a prisoner. As a result, the Des Moines program works with each client in the community in an attempt to prepare the client to cope with and live in that community. And, according to existing evaluations of the Des Moines program, it is an approach that pays off.

CHAPTER V. THE "UNIVERSE" OF CORRECTIONS PROGRAMS

Federal, state, and local corrections agencies and governmental entities, as well as private organizations and foundations, are currently operating innovative correctional programs throughout the country. These programs run the gamut from those which attempt to reform or treat defendants prior to trial (pre-trial), to those which deal with defendants only after conviction (post-trial), and finally to those which are designed to reintegrate into normal society prisoners who have been released from confinement (post-institutional). Some of these programs are truly experimental, and their ultimate value has yet to be conclusively determined. Others have been in existence for a number of years and have proven to be extremely successful. This chapter briefly describes many of the innovative and worthwhile programs which have been or are being operated throughout the country.[1]

As you read through this description of some of the correctional programs being tried by various communities, you will note that the Des Moines project does not include many of these programs. In fact, your community may well have a number of correctional programs which Des Moines has not yet incorporated into its correctional approach. In addition, you may know of correctional experiments that are not discussed in this chapter. This chapter is not exhaustive or definitive; however, its purpose is to place the Des Moines program in the context of other correctional innovations and alternatives. Although you may already be familiar with many of the programs described in this chapter, it may provide some new perspectives as to the type of correctional programs which your community might institute in the future.

A. Pre-Trial Programs

1. *Diversion.* Two alternatives face a person who has committed an illegal act. He can be arrested and processed through the standard criminal justice system, or else he can be diverted and processed through non-criminal programs. The second alternative, pre-trial diversion, involves the halting or suspending of formal criminal proceedings against a person who has violated a statute, and it also often involves the placing of that person into a treatment program which is outside of the normal criminal justice process.

Part of the significance of pre-trial diversion lies in the role it plays in keeping the criminal justice system in operation. If all law violations were processed officially and completely, the criminal justice system would collape because of huge caseloads and enormous costs. An example of the cost savings afforded by the diversion of accused persons is the Project Crossroads program in Washington, D.C. The per capita cost of Project Crossroads was estimated at $6.00 per day, while at the same time the per capita cost of institutionalization in D.C. correctional facilities was estimated to be approximately $17.00 per day.

Over and above the practical significance of diversion there is the positive fact that diversion gives society the opportunity to reallocate existing resources to programs that promise greater success in lowering recidivism rates and in rehabilitating offenders. The formal processing of criminal defendants from arrest to trail and conviction and possible institutionalization unnecessarily stigmatizes large numbers of people, often needlessly removes them from society, and in fact rehabilitates very few.

a. *Screening-out.* A commonplace example of diversion is discretionary "screening-out" by the police and the prosecutors. Police commonly use alternatives to arrest, such as reprimanding a suspected offender, referring him to his family or other agencies, or requiring that he make restitution to his victim. These alternatives are used in situations in which arrest is viewed as inappropriate, such as in many conflicts between husbands and wives, landlords and tenants, businessmen and customers, or management and labor. Similarly, prosecutors often decide not to prosecute a case, or to dismiss charges against a defendant. This prosecutorial discretion is often based on the realization that the offender would not benefit from further processing by the criminal justice system. Alternatively, this

[1] This section of the manual describes only those correctional programs which are designed for adults. A description of juvenile programs is beyond the scope of this handbook.

discretionary screening-out may reflect the prosecutor's perception that the benefits derived from prosecuting the case would not justify the cost and expense of prosecution.

b. *Deferred prosecution.* A second and major example of pre-trial diversion is deferred prosecution. In deferred prosecution, persons who are accused of certain criminal offenses and who meet pre-established criteria have their prosecution suspended for a specific period of time and are placed in rehabilitation programs. If the conditions of the diversion referral are satisfied, the case is dismissed. If the conditions are not satisfied, the accused person is returned for normal criminal processing and prosecution. Two of the pioneering pre-trial diversion programs of this nature are the Manhattan Court Employment Project in New York and Project Crossroads in Washington, D.C., both of which were started in 1967–1968. Today, similar deferred prosecution programs exist or are about to become operational in approximately 50 metropolitan areas.

There are two basic models for deferred prosecution. In one model, no formal charges are lodged against a person who has been arrested; instead, after the arrest, the individual is screened according to a number of criteria in order to determine whether the person is eligible for participation in the diverson program. These screening criteria vary from project to project, but, in general, an accused who fails to meet any of the following criteria may be disqualified:

- *Residency.* The accused must be a resident of the city or county in which the program operates.
- *Age.* There is usually a minimum age requirement of 16 or 17 years, and there may also be an upper limit of 25 to 45 years.
- *Charge.* Some programs are limited to misdemeanants; others also include non-violent felons.
- *Prior Arrests.* Some programs admit only first offenders, while others restrict eligibility to persons who have no more than one prior misdemeanor conviction or who are non-habitual offenders.
- *Unemployment.* Some programs require participants to be under- or unemployed. However, this requirement is not consistently applied.
- *Admission of Guilt.* Program often require that participants admit that they committed the alleged act. (This requirement has resulted in some serious constitutional questions about the legitimacy of some deferred prosecution programs.)

If the individual meets the program criteria and if he agrees to waive his constitutional right to a speedy trial, the staff of the project and usually the district attorney will ask the court to defer formal charging. If the individual successfully completes the rehabilitation program, which generally involves regular participation in educational, vocational, and/or counseling activities, the prosecutor will dismiss the case. If the individual participant fails to adhere to the requirements of the program, the original charges will be reactivated and the defendant will be prosecuted.

In the second model, formal charges are first lodged before an individual is screened for eligibility in a particular intervention project. If the court and (in most cases) the district attorney agree, further criminal proceedings are suspended pending the outcome of the individual's participation in a rehabilitation program. Successful completion of the program results in a request that the original charges be dropped. Unsuccessful participation results in regular proceedings on the charges.

A specific type of deferred prosecution that is gaining popularity is the program designed to provide non-criminal alternatives for people accused of drunkenness or drug abuse. In these programs, the district attorney defers prosecuting persons charged with alcohol and drug violations if the defendant agrees to enter a rehabilitation program. If a defendant prematurely leaves or is dismissed from the program, criminal charges are brought.

An example of a drug abuse diversion program is California's Special Proceedings in Narcotics and Drug Abuse Cases (Chapter 2.5 of the California Penal Code). In this program, the district attorney first determines whether the defendant successfully meets all of the statutorily required criteria. If the defendant satisfies the criteria, he is referred to the probation department, which then conducts an investigation into the defendant's background and prepares a report and a recommendation to the court. The court then determines, with the district attorney's consent, whether the defendant should be diverted and referred for education, treatment, or rehabilitation. The diversion program lasts between six months and two years; when and if the defendant successfully completes the treatment, the charges are dismissed.

c. *Crisis intervention.* The third category of

diversion is crisis intervention in interpersonal disputes. This category consists of those programs in which the police department or another agency intervenes in a conflict before arrest and entry into the criminal justice system becomes necessary. An example is the Family Crisis Intervention Project which originated in New York City. Officers are trained to intervene in family and other interpersonal disturbances and to resolve the conflict on the scene. If the police are unsuccessful, formal action may be necessary and the dispute is referred to the prosecutor.

Another example is the Night Prosecutor Program of Columbus, Ohio. Minor criminal cases arising from neighborhood and family disputes are screened and referred to trained hearing officers for mediation. For the convenience of the disputants, hearings are scheduled for evenings and weekends, normally within one week after the complaint is filed. Subsequent to the hearing, a student clerk assigned to the program telephones the parties involved and determines whether the dispute has in fact been resolved. If the conflict is still unresolvable, the hearing officer may recommend the filing of a criminal complaint.[2]

d. *Diversionary alcohol and drug programs.* A fourth example of pre-trial diversion is alternative placement or treatment for alcoholics and drug addicts. In these programs, once a drunk or a drug-addicted person is picked up by the police, he is assigned to a treatment center for a specified length of time. In some programs, the person who is picked up is given the choice between treatment or criminal prosecution; in other programs he is mandatorily assigned to the treatment center. What these programs have in common is that offenders are removed from the criminal justice system and are placed into non-criminal treatment programs. These programs differ from deferred prosecution in that there is no threat that the offender will be prosecuted after he is assigned to a treatment center.

2. *Pre-trial release.* The second type of pre-trial correctional reform is pre-trial release. Studies which have sought to isolate how pre-trial detention affects the sentencing decision indicate that the mere fact that an accused person is incarcerated prior to trial may cause judges to hand down longer sentences. In addition, the financial and social costs of pre-trial detention for many accused persons far outweigh any benefit the public receives from total confinement. Pre-trial detention prevents defendants, who are good risks to appear for trial but who can't raise the necessary bail, from earning money and unnecessarily imposes great financial and social hardships on them and their families. Finally, pre-trial detention is basically inconsistent with the presumption of innocence. Persons awaiting trial in many jurisdictions are, in effect, considered to be in the same class as persons already convicted and sentenced and are treated as though their guilt had already been established.

a. *Citation release.* One innovative pre-trial release program is California's Citation Release. Section 853.6 of the California Penal Code authorizes on-site police release of misdemeanor arrestees without removing the arrestee from the judicial process and without requiring the posting of bail. In citation release, the arresting officer assesses at the time of the violation the suspect's eligibility and the circumstances of the offense and then determines whether to cite and release the suspect prior to trial. Since the statute allows only misdemeanor suspects to be cited, felony suspects are precluded from consideration. If the officer determines that a citation is in order, the suspect is immediately released in the field. If the officer decides not to cite, the suspect is taken to the local detention facility and booked. However, the statute requires that the police department must then conduct a background investigation of all misdemeanors arrestees not given a citation release by the arresting officer. If the background investigation is favorable, the arrestee is given a station-house release.

A weakness of the citation release program is the absence of objective statutory release criteria. The statute leaves the decision whether to cite an arrestee in the field up to the discretion of the arresting officer. Further, though the statute does mandate that the station-house investigation include certain factors, there are no guidelines which assign weights to each factor. Consequently, each jurisdiction that establishes a citation system has the freedom to determine the standards for release.

Nevertheless, the citation release program has achieved the expeditious release of many arrested persons without requiring bail and without creating significant increases in the rate of default in making court appearances. Statistics reveal that the rate of

[2] The National Institute of Law Enforcement and Criminal Justice has designated the Night Prosecutor Program an "Exemplary Project," and has sponsored demonstrations of the Family Crisis Intervention Project in six locations around the country. In addition, nationwide training of criminal justice executives has been conducted by the National Institute in both programs. Printed information about these programs can be obtained from the Training and Demonstration Division, NILECJ (LEAA), Washington, DC 20531.

appearance for arrestees released by citation is substantially the same as for those who post bail. More importantly, citation release avoids depriving arrestees of liberty or property before they have had a trial to determine guilt or innocence.

b. *Warrant release.* The Oakland-Piedmont (California) Municipal Court and the Oakland Police Department are currently operating a variant of citation release which is officially called Misdemeanor Direct Charge Citation Release. The program is designed to release prior to trial selected accused misdemeanants who have never been arrested but who have outstanding arrest warrants from one or more California jurisdictions.

Police often investigate an alleged crime and advise the complainant to go to the police station and sign a complaint. At the same time, a police investigation report is prepared on the alleged misdemeanant which in the great majority of cases recommends that the misdemeanant be released prior to trial. Subsequently, after the district attorney decides what crime to charge the misdemeanant with, a warrant is issued.

It is at this point in the criminal process that the Misdemeanor Direct Charge Citation or Warrant Release program operates. A notice is sent to the last known address of all non-traffic accused misdemeanants who have never been arrested but who have an outstanding arrest warrant. The notice requests that the misdemeanant appear at the police department within 7 days after date of mailing. If such persons do appear within the 7-day period, and if the police investigation report contains no negative recommendation, then a mutually satisfactory court date is agreed upon and a citation release is immediately issued. The citation requires that the misdemeanant appear within 48 hours of his court appearance so that he can be fingerprinted and photographed.

The warrant release program also operates to release alleged misdemeanants who have several warrants outstanding. Such a misdemeanant who appears at the police department within the 7-day notice period may have as many citations issued as there are outstanding arrest warrants. For each citation that is issued, a different court appearance date is specified.

c. *Ten percent bail deposit.* Another highly publicized pre-trial release project which has been instituted in the past decade is the 10% bail deposit program. As was the case with California's citation release, the impetus for this reform was dissatisfaction with the traditional "bail or jail" alternative facing pre-trial detainees. Under the 10% bail program, which first went into effect in Illinois in 1964, the defendant has the option of paying the bail clerk 10% of the bail set by the court. Only the defendant for whom bail has been set can execute the bond. No surety, fidelity company, or professional bail bondsman can act as a personal representative of the defendant. After depositing 10% of the bail amount, the defendant is released from custody upon his promise to appear in court for trial. Finally, unless the court orders otherwise, when the defendant appears in court as scheduled and the case has been resolved, he receives 90% of his original 10% deposit back. Thus, the defendant who appears as scheduled forfeits only 1% of the face value of his bail amount. Moreover, statistics reveal that the 10% cash bail program is at least as effective a guarantee of court appearance as is traditional bail bonding.

d. *Release on one's own recognizance (ROR).* Perhaps the most popular of the innovative pre-trial release programs is release on one's own recognizance (ROR), which was pioneered by the Vera-Manhattan Bail Reform project in 1961. ROR is one of the four Des Moines components and is described in detail in Chapter III of this handbook.

In summary, the typical ROR project works as follows: persons arrested and booked for a crime (some programs exclude defendants charged with the most violent crimes) are interviewed by an ROR interviewer. Relying on pre-established criteria, such as residence, employment, and family ties in the community, the ROR interviewer gathers objective data about the defendant. Subequently, the interviewer must verify (usually by telephone) the information given to him by the defendant. If the defendant scores a requisite number of verified points, he is recommended for release on his own recognizance. Finally, if the presiding judge of the criminal court is in agreement with the ROR recommendation, the defendant is asked to sign a form in which he promises to keep all court appearances, and then he is released into the community on his own recognizance. In many programs, the district attorney has the authority to review ROR recommendations and to contest in court any recommendations with which he disagrees. As is the case with citation release and the 10% cash bail program, statistics from various ROR projects reveal no substantial difference between the default rate claimed by bail bondsmen and that recorded for ROR.

e. *Supervised release.* Yet another successful pre-trial release program which is also one of the components of the Des Moines Project is super-

vised release, a program which has been developed for moderate risk defendants who do not qualify for ROR. Supervised release provides individualized and often intensive community-based counseling and treatment to these high-risk releasees; it is described fully in Chapter III of this handbook.

B. Post-Trial Programs

1. *Sentencing.* After a defendant is found guilty, the first and perhaps most important decision made by the criminal justice system concerning that defendant is the sentencing decision. In most jurisdictions, judges having the responsibility for sentencing offenders rely on a number of correctional programs.

a. *Pre-sentence investigation (PSI) and report.* The first prerequisite for sentencing decisions in many cases is the pre-sentence investigation (PSI) and report—a report which is generally written by a probation officer or other officer of the court and which is designed to inform the judge (or whoever makes the sentencing decision) of facts concerning the offender, his past, and his potential for the future. Such information is essential if the sentencing decision is to be a knowledgeable one. Federal courts appear to be the most consistent users of such reports, utilizing them in almost 90% of all criminal cases. State courts vary considerably in the degree to which they utilize them; in states such as California, a report is required in all felony cases, while in some states the pre-sentence report is discretionary with the trial court. The National Advisory Commission on Criminal Justice Standards and Goals has proposed that a pre-sentence report be presented to the court in every case where there is a potential sentencing disposition involving incarceration and in all cases involving felonies or minors.

The amount of data contained in pre-sentence reports varies considerably from jurisdiction to jurisdiction and from probation department to probation department. The National Advisory Commission has recommended that gradations of reports should be developed between a full report and a short-form report and that full reports be prepared in every case where incarceration for more than 5 years is a possibility. A full report should contain a description of the offender's background, the details of the crime for which he was convicted, and a discussion of his prospect for reform. (See Chapter III for a description of the PSI process in Des Moines.)

b. *Sentencing boards and statutory sentences.* At present, debate focuses on whether the judge or some sentencing board should receive the pre-sentence report and make the actual sentencing decision. The only plan calling for total abandonment of judicial sentencing was proposed by the American Law Institute in its model Youth Correction Authority Act. However, the proposal was subjected to a great deal of criticism and was not adopted by any of the states enacting youth authority laws. "Board sentencing," as it exists today, means that if the defendant is committed to jail, the court automatically sets the maximum sentence provided by the statute, but a board subsequently has control over the length of the convict's commitment. Only California and Washington have adopted this form of board sentencing. However, a number of other states have passed "automatic maximum" statutes which provide that, once the judge decides that the convicted offender should be committed to jail, the statutory maximum term is automatically imposed. In these states, sentencing boards do have the power to discharge the prisoner prior to the end of the term. However, most states have opted neither to create sentencing boards nor to pass "automatic-maximum" statutes, but rather to leave discretionary sentencing power in the hands of the judge.

c. *Classification of sentences.* A great deal of discussion and reform has also occurred in the area of sentencing equality. In order to reduce the likelihood of disparate sentences for similar offenses, some multi-judge jurisdictions have instituted the practice of having sentencing judges gather in councils to discuss the sentences meted out to individual offenders. The discussions act as a check on the attitutdes and practices of the single sentencing judge. In other jurisdictions, all sentencing judges periodically conduct institutes in order to consider broad principles and approaches to sentencing.

The proposed new Federal Criminal Code (1971) attempted to reduce the number of disparate sentences given to offenders who have committed similar crimes by rationalizing the federal criminal classification system. Given the different combinations of maximum imprisonment, it has been estimated that Congress has differentiated at least 100 categories of federal offenses. The proposed Code reduces the variety of possible sentences into basic categories: Class A, B, and C felonies, whose maximum terms are thirty, fifteen, and seven years respectively; Class A and B misdemeanors, the maximum terms of which are thirty days to one year; and finally a category for petty infractions.

The sentences for the various offense categories reflect different correctional goals. The sentences for aggravated or Class A and B felonies reflect the predominant goal of incarcerating the most dangerous criminals for substantial periods of time. Though it is hoped that these criminals will be rehabilitated during their period of confinement, rehabilitation is not the primary purpose. On the other hand, rehabilitation is the primary goal for Class C or low-level felonies. The maximum 7-year sentence for Class C felonies reflects the belief that a greater period of time is not necessary in order to rehabilitate persons. Finally, the shorter sentences for misdemeanors are not generally long enough to rehabilitate convicted offenders. Rather, they are designed to provide a "shock effect" deterrent to further criminal activity. Moreover, no matter what the offense category is, none of the maximum sentences of the proposed Federal code are intended to be a norm from which variations must be justified by the sentencing judge. Rather, they are designed to define the outer boundary of a discretionary power entrusted by Congress to the judiciary.

The classification scheme of the proposed new Federal Code has received a wide degree of approval and comment. Recently, several states have adopted schemes which are identical or analagous to the proposed federal plan.

2. *Probation.* One possible sentencing alternative is, of course, to place the offender on probation. Under existing federal practice and in many states, probation is commonly employed for first offenders unless the offense is quite serious or the offender appears to present an exceptional threat to public safety. However, there are wide variations in the practice of individual judges, both in federal and in state courts, and few legislative policies have been developed to set limits on judicial discretion. Section 3101 of the proposed Federal Criminal Code enunciates a Congressional policy against unnecessary imprisonment and lists the factors which should be considered by the sentencing court.

a. *Differential caseloads.* Probation programs have traditionally operated on a caseload basis. A probation officer is assigned a certain number of probationers over whom he has supervision. Under this type of system, each probationer generally receives the same degree of supervision as does every other probationer. One reform which has been applied to parolees but which is just as applicable to probationers is the work-unit or differential caseload system. Ever since 1965, California has been operating its Work Unit Program, which provides intensive supervision for selected high-risk parolees and less intensive supervision for parolees whose behavior indicates a greater potential for favorable adjustment. Parolees are assigned to one of three possible levels of supervision. A weighting system was devised in which different weight is given to each case depending on which of the three levels of supervision is required. The sum of the weights assigned to all the cases supervised by any one agent is set at 120, which has resulted in an average caseload of thirty-five probationers.

The implications of research on differential or work-unit caseloads are clear. If offenders with a high potential for success on probation (or parole) can be assigned to large minimally supervised caseloads, the probation or parole system will be more able to concentrate its efforts on medium- or high-risk clients. In addition, the probation system will also be capable of absorbing offenders who now may be sent to prison because correction officials believe that normal probation supervision will be insufficient.

b. *Financial and manpower assistance for local probation programs.* One of the major problem areas in probation is the size and professional ability of probation staffs in states where probation is a local function. Tremendous variations are likely to exist within a state in terms of the number and qualifications of the personnel and the relative emphasis on services to courts and probationers. County probation agencies are often small and lack resources for staff training and development, research and program planning, and services to the probationers. Some states have attempted to insure that local probation agencies supply a uniform and minimum level of services by providing revenue or manpower to the local agencies. For example, Michigan assigns state-paid probation officers to work alongside local probation officers. Other states, including New York, directly pay part of the cost of operating local probation services. California and Washington, on the other hand, have developed probation subsidy programs which provide economic incentives for counties to place offenders on probation rather than to commit them to state institutions. These subsidy programs reimburse counties in proportion to the number of individuals who remain in the local community on probation. The California program was the result of a 1964 study which was undertaken in order to determine how state institutional costs could be reduced while county probation programs were improved. The study concluded that 25 percent of state correctional commitments could be maintained safely and effec-

tively within county probation systems if probation services were upgraded.

Both the California and Washington programs are designed to counteract a problem which is inherent when probation is a local function. Local probation agencies are funded by local monies, while state prisons are, of course, funded by state revenues. Thus, there are great economic incentives for counties to place convicted offenders in state institutions and not on probation, thereby shifting the financial responsibility from the county to the state.

c. *Intensive probation intervention.* Many corrections agencies are operating probation programs which offer more services and provide more supervision than does traditional probation. Such programs are usually classified either as being an example of intensive probation or intensive intervention. The distinction between these two categories is not clear and often reflects only differences of degree. Intensive probation programs are generally those which offer services such as group or family counseling, frequent sessions between probationers and probation officers, intensive job development and assistance, and referral to other community agencies. An example is the probation component of the Des Moines project, which is described in Chapter III of this handbook.

However, there are certain types of offenders who are likely to fail even on intensive probation. For these people, even more supervision, counseling, and behavior modification is necessary. These more rigorous and restrictive programs are generally classified as examples of "intensive intervention." Some intensive intervention programs are residential and require that the participants be housed in the program's facilities. This type of residential intensive intervention program is discussed in paragraph f on Residential community-based programs.

In general, intensive intervention programs are distinguished by their coherent theoretical base or by their comprehensive approach to changing the life styles of the offenders assigned to them. They usually rely on or combine one of two basic approaches to the rehabilitation and reintegration of the offender. One approach emphasizes attitudinal and behavior modification. The other focuses on the provision of services, such as vocational training, job-finding, medical care, and financial assistance or guidance.

A specific example of a non-residential intensive intervention program is the Community Treatment for Recidivist Offenders Project, established in Oakland County, Michigan, in 1971. This project was designed to demonstrate that second-felony adult offenders can be retained and treated in the community at no greater risk to public safety and with considerable savings on resources. The target group consisted of adult offenders who had been convicted of at least one prior felony, or whose prior conviction had been a misdemeanor that had been reduced from a felony charge. A special unit within the probation department was created to implement the project, and intensive casework and group services were provided to the offenders in caseloads not exceeding thirty-five cases per officer. Peer pressure to change attitudes and modify behavior was used extensively by means of peer groups which met frequently to discuss and address mutual and individual problems. As of December, 1972, there had been only 9 failures in the 44 cases that had been assigned for project supervision.

3. *Institutions.* Traditionally, prisons have functioned merely to isolate prisoners from the rest of society until their terms of commitment were completed. More recently, however, correction officials have realized that the ultimate objective of institutionalization is to motivate the offender by offering him the same incentives that motivate other citizens to lead socially acceptable lives. The institutional reforms which have been experimented with around the country are designed to provide links between the offender and the community into which he will eventually be released.

a. *Coeducational reform.* One possible area of reform lies in modifying the nearly universal practice of sexually segregating institutionalized prisoners. California and Mississippi, for example, have conjugal visiting programs which are obviously designed to reduce tensions caused by the sexual deprivation imposed on imprisoned inmates. However, conjugal visiting not only places the visiting spouse in an unnatural and uncomfortable position, but also (since it is currently limited to married inmates) discriminates against the unmarried convict. A more promising reform has been instituted by Massachusetts which, since 1973, has been operating a coeducational prison for minimum-security inmates. Nearly all of the prisoners are eligible for parole within one year to 18 months after being transferred to the institution. The prisoners live in sex-segregated cottages, have a 9:30 p.m. curfew, and are permitted no more sexual contact than hand-holding. Currently, there is one federal prison (in Fort Worth) which is also coed, and a coed state prison is scheduled to open in Connecticut in 1976.

b. *Educational programs.* Another category of

post-trial institutional reform concerns educational programs offered to prisoners. Corrections officials are increasingly aware that prisoners have a far better chance to be successfully reintegrated into society after they are released from confinement if educational training is provided while the prisoners are institutionalized. One such educational program is the Newgate Model, in which mini-universities are established within prison walls in order to serve the higher educational needs of inmates.

Newgate programs are located throughout the country in both state and federal institutions. Common to all of them is the use of education as the major rehabilitative and training tool. Many of these programs also arrange for the continuation of college training after the inmate is released. Another innovative program is in Minneapolis, where students of Augsberg College, as part of their regular curriculum, attend classes held in penal intitutions with inmates and prison officers as fellow students. This co-learning atmosphere has proved beneficial for the inmates as well as for the Augsberg students.

c. *Work release.* An older but very promising area of correctional reform is work release. This country's first major work release legislation was Wisconsin's Huber Law, which was passed in 1913 and which originally allowed selected misdemeanants to work during the day in the community and to return to jail at night. The work release concept was not adopted by any other state for 40 years, and not until 1957 was the first work release program authorized for felons. Since 1957, however, work release has been adopted by a majority of states.

Work release programs are designed to move the prisoner out into the community and to reintegrate him into society instead of unnecessaily prolonging his isolation. As its name implies, work release always involves release from custody in order to work in the community, but the term "work release" also often includes release for educational and vocational purposes. For example, in 1967, Wisconsin amended its work release statute in order to authorize release both for education and training. Moreover some state laws allow release from confinement in order to seek employment.

The housing of work releasees typically presents a problem. State institutions usually incarcerate men from all areas of the state in a centralized and often isolated location; these institutions are generally far from urban areas and, therefore, far from most job opportunities. Also, releasees optimally should have jobs near their homes so as to allow them to maintain a continuity of job experience after they have finished serving their sentences. In order to solve this housing problem, many state correctional institutions contract with other political subdivisions for the housing of state prisoners engaged in work release programs. For example, county jails can provide a network of local facilities which house releasees during non-working hours. Other states have passed legislation which authorizes the development and use of halfway houses or work-release centers which provide minimum security housing for releasees in various community facilities throughout a state. Finally, some states which house releasees in state prisons specify that the releasees are to be housed in a separate unit apart from the rest of the prison population.

In addition, most work-release programs place strict control on the wages earned by the releasees. When an inmate is employed in the community, his wages are turned over to the institution, and all items needed for the inmate's personal use are often purchased through a commissary with either chits or vouchers. The correctional institution usually channels releasee's wages into specific purposes, such as the support of dependents, the payment of fines or debts, victim restitution, the accumulation of savings, or to defray the cost of institutionalization.

d. *Home furlough.* Another area of institutional reform is the home furlough. The two states which are now operating extensive home furlough programs are Michigan and Missisippi. For example, in Mississippi inmates who have three years of good behavior and who are rated as trustworthy are permitted to go home for furlough periods of up to ten days. These programs have experienced less than a one percent non-return rate. In addition to Michigan and Mississippi, the Federal Bureau of Prisons is now experimenting with unescorted furloughs for selected inmates under authority of the Prisoner Rehabilitation Act of 1965. Under this Act, a furlough may be granted to permit visiting a dying relative, attending the funeral of a relative, obtaining medical services not otherwise available, contacting prospective employers, or for any other compelling reason.

e. *Pre-release.* An area of prison reform related to work release is pre-release, which is designed to ease the transition of the incarcerated prisoner back into society by releasing him from traditional institutionalization just prior to the end of his term. Pre-release was pioneered by the federal prison system in the early 1960s. Small living units were organized in several cities, and individuals were transferred to these units during the final months of their sen-

tences. In order to prepare the inmates for final release into the community, special orientation programs, employment assistance, and decision-making opportunities were provided.

States also have begun to experiment with pre-release programs. In California, for example, inmates within 90 days of final release may make unescorted trips home on 3-day passes, and temporary releases are permitted at any time in the last 60 days before the official release date. In Texas, a pre-release program began to operate in 1963. Inmates who were within six weeks of completing their sentence were transferred to a special facility and participated in a 5-week classroom study of 24 topics relating to employment, law, finances, family, and the community.

f. *Residential community-based programs.* Perhaps the most imaginative post-trial residential reforms are occurring in the area of community-based corrections. One such post-trial residential program is the Des Moines community corrections facility, whose operation is described in Chapter III of this handbook. Another example (described earlier in this chapter) is the type of work-release program in which the releasees live in the community. In general, residential post-trial-community-based programs include all those correctional activities in which prisoners are housed in facilities located within the community. During the day, the participants often leave the residential facility in order to go to work, to gain vocational and educational skills, and to receive counseling and other social services. At night, the residents return to the community facility.

Many residential, post-trial, community-based programs are referred to as "halfway houses." In terms of theoretical correctional models, one type of halfway house is a "halfway-out" house, which is a facility for persons who have been released from traditional prison. This type of house helps to reintegrate the offender into society and can be used for treatment purposes, for the housing of prisoners prior to parole, or for the supervision of persons who are not doing well while on parole. The other model is a "halfway-in" house, one which is designed for offenders who have failed probation or who do not qualify for probation but are not in need of either maximum- or medium-security institutionalization. For such persons, the minimum-security or non-secure halfway house can provide the services and supervision considered necessary without removing the offender from society. This type of halfway house attempts to rehabilitate the offender within the community, thereby eliminating the need for later reintegration.

An example of a "halfway-in" house that bridges the gap between probation and traditional institutionalization is Probationed Offenders Rehabilitation and Training (PORT) of Rochester, Minnesota. As mentioned above, PORT is a residential intensive intervention program. It began operating in 1969 in a former nurses' residence and is a live-in, community-based, -supported, and -directed treatment program for both adult offenders and juvenile delinquents. Entrance into PORT is voluntary. Referrals come primarily from the juvenile and district courts. The candidate spends a 3-week evaluation period in residence at PORT during which time he and a screening committee evaluate and determine if the program is the choice of both parties. The screening committee is composed of a psychiatrist, a probation officer, a lay person from the community, the executive director of PORT, and two resident counselors. The core of the program is a combination of group treatment and behavior modification. A point system is used to award participants increasing levels of freedom and is based on measured performance in tangible areas, such as weekly school or work reports, building clean-up, and managing a budget. Operationally, a newcomer must work his way up a classification system which ranges from 1 (minimum freedom) to 5 (freedom commensurate with that of an individual of the same age in the community). Through December 1971, PORT had accepted 60 male residents whose offenses ranged from truancy to armed robbery. All but three of these residents would have been incarcerated had they not been accepted into PORT. Of these 60 residents, only six were discharged as failures and sent to correctional institutions.

Another variant of the residential, post-trial, community-based facility is the community corrections center. As federal and state governments have begun to rely less and less on housing inmates in traditional prisons, they have increasingly turned to decentralized and smaller institutions located in the community. Though these community corrections centers are less secure than traditional prisons and do rely upon community interaction, they are more secure and provide more supervision and surveillance than do half-way houses. One of the strongest incentives for the creation of the community corrections center has come from the Federal Bureau of Prisons. The Bureau's building program is aimed at replacing existing prisons with smaller ones. It also operates more than a dozen community treatment

centers which house selected short-sentence and female offenders, in addition to prisoners who have been assigned to pre-release status. States also have begun to incorporate community correction centers into their overall corrections systems. For example, Illinois intends to build four new correctional instructions for adult male felons; these facilities will be located in the more densely populated areas of the state in order to facilitate community involvement and citizen participation as volunteers. In addition, the community corrections center is viewed by states, such as Washington and Colorado, as the model for future correctional facilities.

C. Post-Institutional Programs

1. *Parole*. Probably the most important and certainly the most well-known post-institutional correctional activity is parole. Most prisoners released from a correctional institution re-enter the community on parole; in 1970, for example, 72% of the 83,000 felons who left prison were released on parole. Parole has been defined as the discretionary release of an offender from a state or federal correctional institution (1) after he has served a portion of his sentence, and (2) under conditions that permit reincarceration in the event of misbehavior. Parole should be distinguished from mandatory or conditional release whereby adult prisoners are automatically released under supervision when they have served a portion of their sentence and have earned a specified amount of time off for "good behavior". In mandatory or conditional release, statutes specify how "time off" is calculated, and the parole authority exercises no discretion in the matter.

Parole must also be distinguished from probation. Parole is granted by state or federal penal authorities. Once a defendant has been convicted and sentenced to a state or federal corrections facility, jurisdiction over that person is transferred from the sentencing court to the state or federal authorities. Release prior to the completion of his sentence under specified conditions is called parole.

Probation, on the other hand, is within the jurisdiction of the sentencing court. As discussed earlier, the sentencing court can place a convicted offender on probation immediately after conviction. Alternatively, the sentencing court can still retain jurisdiction and sentence the offender to a county or district correctional facility. If the offender is then subsequently released subject to conditions that permit reincarceration in the event of misbehavior, he is still under the authority of the sentencing court. Such post-institutional release subject to the jurisdiction of the sentencing court is probation. Thus, a person can be placed on probation both immediately after his conviction, or he can be released on probation after serving a portion of his sentence in a local facility (e.g., county jail). The innovative probation programs, whether post-trial or post-institutional, are discussed in paragraph B of this chapter dealing with post-trial programs.

a. *Parolee rights*. Traditionally, the inmate who is a candidate for parole has had the burden to make an affirmative case for his parole. However, both the Model Penal Code and the proposed Parole Improvement and Procedures Act of 1972 reverse this burden and propose that every inmate should be released on parole when he is first eligible, unless the inmate is disqualified by one or more specific, statutorily enumerated conditions. The two disqualifying conditions proposed in the Parole Improvement and Procedures Act are that there is substantial reason to believe that the prisoner (1) will engage in further criminal conduct, or (2) will not conform to his conditions of parole.

In general, a rapidly changing area of corrections concerns the rights of the prisoner throughout the entire parole process, including his rights during the parole hearing, while on parole, and during any possible revocation proceedings. The changes which are occurring are primarily the result of court decisions which have steadily expanded the rights and privileges available both to parolees and to prisoners who are being considered for parole. Courts are requiring parole agencies to provide a parolee or a prospective parolee with a hearing whenever his liberty is at stake. The hearing must comply with many of the consitutional requirements of due process, such as adequate notice to all concerned parties, adequately defined criteria and standards on which to base decisions, and perhaps even the right to counsel.

b. *Parole reorganization*. One of the clearest trends in parole reorganization in the last few years is the consolidation of formerly autonomous agencies or functionally related units into expanded departments of corrections. One clear indication of this trend is the number of states which have shifted administrative responsibility over parole officers from independent parole departments to centralized correctional agencies. Recently, Georgia, New York, and Oregon have made such transfers.

Practically every large state now has an adult parole field staff reporting to the same administrative author-

ity responsible for the personnel of state penal institutions. The National Advisory Commission on Criminal Justice Standards and Goals has stated that the emergence of strong and autonomous correctional agencies is crucial in removing a major stumbling block to needed correctional reform—fragmented and poorly coordinated programs and services.

c. *Caseload reform.* Another development in parole is the modification of the traditional caseload method for treating and supervising parolees. As discussed above, California has been operating a differential or work-unit caseload program for parolees since 1965. Parolees are assigned to one of three levels of supervision, with each level of supervision given a different "weight." Each parole officer supervises that number of cases whose sum of weights totals 120. This weighting system results in an average caseload of 35 and allows high-risk parolees to be given more intensive supervision than those parolees who need less help in adjusting to society.

Another departure from the traditional caseload method is the team supervision concept. A group of parole officers, sometimes augmented by volunteers and paraprofessionals, takes collective responsibility for a parolee group as large as their combined former caseloads. The decisions which are made are group decisions, and generally the parolees themselves are involved in the decision-making process. Team supervision allows greater flexibility and more specialization than the traditional caseload method. For example, various groups or organizations, such as employers or schools, may become the major target area of one parole officer's activities; the rest of his normal duties will then be reassigned to other officers participating on the team.

d. *Parole aide programs.* Another area of innovation is the increasing utilization of ex-prisoners as parole aides. Surveys indicate that most parolees believe that ex-prisoners are easier to talk to, are more helpful in finding jobs, and are more understanding than are parole officers who have never been convicted or incarcerated. In short, ex-prisoners can make the process of adjusting to society far easier for many parolees.

An example of a successful project is the Parole Officer Aide Program, begun by the state of Ohio in 1972. This program is staffed soley by former convicts who have successfully completed parole (as set forth by Ohio regulations) and who have met all the other requirements for the program, such as age (22 or older), residency (resident of Ohio), and proper attitudinal and behavioral traits. Prior to entering the field on a full-time basis, all of the parole officer aides are involved in a 2-week training seminar with their future parole supervisors. After the seminar is completed, each aide is assigned a caseload of 30 parolees and is required to provide "supervision parallel to supervision of professional officers." Aides are expected to publicize the program and organize community support by speaking regularly before high schools, service organizations, and pre-release institutional inmate groups. Aides are also expected to help find jobs for the parolees, since they have a better understanding of the types of jobs parolees desire and since they generally have intimate knowledge of the neighborhoods in which the parolees work.

In general, the parole aide program is representative of a wide range of innovative corrections programs in which ex-prisoners are used to supervise and counsel either pre-trial releasees or incarcerated offenders and/or those persons who have been released from confinement. For example, the Des Moines project use ex-offenders in its supervised release and community corrections components. The successful programs that have hired ex-prisoners have discovered that the ex-prisoners are often more understanding and more helpful than are regular corrections officials. Participants in the various programs (be they pre-trial releasees, inmates, parolees, or probationers) and even program supervisors have often rated ex-prisoner aides as being superior to other corrections personnel for many tasks.

e. *Financial assistance programs.* Perhaps the most common problem immediately confronting paroled convicts is the need for money. Most states provide new releasees with transportation, some clothes, and a minimal amount of money. However, lack of sufficient funds is a problem which confronts most parolees and which often increases parole failure rates. A number of solutions have been explored during the past few years, the most common being a loan fund arrangement whereby the correctional facility loans the parolee a lump sum of money. A more promising solution was recently adopted by the state of Washington, which now provides funds for up to 26 weeks for unemployed parolees from the time of their release to the time that they are first gainfully employed. The theory behind this legislation is that the state should aid the unemployed parolee in much the same way that it aids the unemployed worker through unemployment compensation.

2. *Re-entry programs.* Ex-prisoners who have served their sentences and who have been released

from institutional custody—whether from a maximum-, medium- or minimum-security facility or from a non-secure facility—often need help in bridging the gap between prison and the community. Prioners' associations and post-institutional halfway houses are designed to fill this needed function.

a. *Prisoners' associations.* Ex-prisoners and people interested in correctional reform have often formed voluntary associations designed both to speed the re-entry and re-integration process and also to advocate additional correctional reforms. These associations also often fulfill a social function for recently released prisoners. Meetings are held and newsletters are circulated in which ex-prisoners discuss their adjustment problems, employment opportunities are listed, and counseling and advice are given to those who need help.

An example of a prisoners' association which helps ease the re-entry of released prisoners into society is Transitions to Freedom, Inc., a 5-year old organization located in San Francisco. Transitions to Freedom is designed specifically to find jobs in San Francisco for men and women who have been released from penal institutions. The emphasis of the program is almost totally concentrated on finding jobs; it provides only referral services to other non-employment agencies and organizations.

Part of the program deals with vocational training classes. Such classes last from three to nine months and are held only if Transitions to Freedom has obtained commitments from prospective employers that they will in fact hire people who successfully complete a specific training class. In addition, Transitions to Freedom attempts to place in vocational classes prisoners who either still have a limited amount of time to serve before they are released from institutional confinement, or else prisoners who have already been placed in standard work release programs. In either case, the program takes responsibility for these two types of prisoners, ensures that lodging is found for them, and assigns them to a specific vocational training class. If the participants do not adhere to the requirements of the Transitions program they are transferred immediately back to state custody.

In addition to vocational training, Transitions to Freedom operates a labor-service pool for persons who are looking for, but have not yet found, permanent employment. Every participant is put into a labor pool and is farmed out to paying jobs, such as housepainting, gardening, or cleaning. Currently, the program hopes to start its own construction company which, if successful, will both contribute funds necessary to operate the labor service and also will provide employment to the participants.

b. *Halfway houses (post-institutional).* In addition, post-institutional residential houses have often aided the ex-prisoner to adjust to non-prison life. These residential facilities are generally operated by private individuals, foundations, or religious organizations and are outside of the federal, state, or local government correctional system. They are often located in downtown areas of urban centers and usually accommodate less than 20 residents. Food and shelter are provided free or on credit until the resident is able to find a job and receives a first paycheck. In some halfway houses, residents are taught such skills as how to approach a prospective employer and how to make use of the telephone to arrange interviews. Houses often run their own employment agencies and contact employers who are willing to hire ex-offenders; other houses run their own businesses and employ their own residents. Regulations are generally kept to a minimum, and few if any restrictions are placed on the freedom of residents.

Some of these post-institutional residential facilities accept only ex-prisoners and, more particularly, only ex-prisoners who have committed specific offenses, such as drug-related crimes. Others accept any person who is willing to live in the halfway house community and to abide by the rules and regulations of the community. The philosophy of most residential facilities is designed to teach the ex-prisoner as quickly as possible how to live in the community; in these houses, residents are expected to stay for only a limited time, until they have gained the tools necessary to live on their own. In other post-institutional residences, the community is seen as an alternative and permanent lifestyle, and residents can opt to stay and live in the facility for the remainder of their lives. The most prominent example of this type of halfway house is probably the much-publicized Synanon House.

A very successful program designed to reintegrate ex-prisoners as quickly as possible is the Delancey Street Foundation of San Francisco. Delancey Street is a private foundation, established in 1971, and is designed mainly to rehabilitate convicted drug addicts.

Residents are asked to stay for two years, and during that time they learn vocational and business skills which hopefully will sustain them in the outside world. The Foundation operates several profit-making business ventures, such as a restaurant, a flower delivery sevice, a moving company,

and an automobile repair shop. The Foundation also runs its own accredited, in-house high school which teaches such basic skills as reading and writing, as well as more advanced subjects. Other residents attend local "outside" colleges and trade schools. New residents are put to work washing dishes and clothes and sweeping floors, and gradually work up to more skilled positions in the Foundation's outside businesses.

Both Delancey Street and Synanon rely on group encounter session which are intended not only to provide residents with an opportunity to ventilate their frustrations, but also to give each resident a new self-image. Most post-institutional residences, however, do not include group therapy as part of the adjustment or reintegration process, but rely instead on informal meetings and mutual assistance among the residents.

CHAPTER VI. REPLICATION—HOW HAVE OTHER COMMUNITIES DONE IT?

If the Des Moines Community Corrections approach—in whole or in part—seems to make sense for your community, the question becomes: how can that approach best be replicated in your community? To help answer that question, Chapter VI briefly describes the experience of several communities that received a grant from the National Institute of Law Enforcement and Criminal Justice to replicate the Des Moines project. And Chapter VII presents an outline of the basic tasks involved in replication.

In an effort to test whether the success of the Des Moines project was limited to the Fifth Judicial District in Iowa or capable of being replicated in other communities around the nation, the National Institute of Law Enforcement and Criminal Justice, LEAA, provided $1,500,000 for six formal replications of the Des Moines project. In addition, the National Institute contracted with Urban and Rural Systems Associates (URSA), a San Francisco consulting firm, to provide technical assistance to the replication sites during the pregrant planning process and the post-grant implementation process, and also contracted with Florida State University to evaluate the replication process in five of the six target communities. The six communities selected to replicate the Des Moines project were:

- Clark County (Vancouver), Washington
- San Mateo County, California
- Salt Lake County, Utah
- St. Louis County (Duluth), Minnesota
- East Baton Rouge Parish, Louisiana
- Orange County (Orlando), Florida

The goal of "replication" in these six communities was not to duplicate the Des Moines project. The National Institute recognized that the correctional needs of different communities vary considerably and that differences in the structure and process of criminal justice at the local level affect the feasibility of even an "exemplary" project in different ways. The goal of the replication experiment was, therefore, based on an awareness of local differences. Each replication site was required to institute all four of the Des Moines components, but the structuring of those components and the procedures established for each replication project were expected to be shaped by the realities of the local criminal justice system. Thus, the goal was replication rather than duplication.

The following discussion traces the pregrant experiences of five of the six replication sites to which Institute sponsored technical assistance was provided. (Because of a shortage of NILECJ funds, East Baton Rouge Parish did not receive this assistance.) Since most of the replication sites were just beginning to move into the implementation stage in late 1974, this discussion is limited to the planning process that led up to the submission of a grant application in each community.

A. Clark County (Vancouver), Washington

The planning process which took place in Clark County was broadly based from the beginning. Immediately after the possibility of receiving a replication grant was announced, a community meeting was held. All major participants in the local criminal justice process were asked to attend, together with representatives of community service agencies. Following a description of the Des Moines project, the County Commissioner having functional responsibility for criminal justice programs took charge of organizing the planning process. An Ad Hoc Planning Committee was formed and the local Regional Planning Unit criminal justice planner provided the staff support for the committee. From the start, the Ad Hoc Committee included nearly every "key actor" in the Clark County criminal justice system: the County Commissioner, the County Administrator, the County Sheriff, the Director of the County Jail, the Vancouver Chief of Police, the County Prosecutor, the Public Defender, a judge of the Superior Court, a judge of the District Court, the Director of the county (misdemeanor) probation department, the District Supervisor of the state (felony) probation department, and a Councilwoman from the city of

Vancouver. By forming a broadly based committee at the start of the planning process, Clark County officials provided a mechanism that not only encouraged the sharing of information and concerns about the existing criminal justice system in the community, but also diminished the intensity of "turf disputes" that are typically involved in any project which alters existing administrative structures and jurisdictional lines.

The existing criminal justice structure in Clark County was typical of many communities. The city and county jails had been consolidated under the jurisdiction of the County Sheriff. When the planning for the replication project began, Clark County had neither a formal ROR program (judges occasionally freed defendants on their own recognizance, but no staff was available to provide objective data on each defendant), nor a supervised release unit. The probation function was divided between the State Department of Probation and Parole, which provided local probation services to convicted felons, and the county District Court Office of Probation, which provided PSIs and probation supervision for misdemeanants. The community had no community correctional facility, although a small work-release component did operate out of the city jail. A new deferred prosecution program had recently been instituted by the county prosecutor with LEAA funding, and treatment services were provided by an Offender Services Coordinator, who also was the Director of the Prevention-Habilitation Council of Clark County (Pre-Hab), a private agency which also operated a halfway house for released prisoners.

As a first step in planning a replication of the Des Moines project, several members of the Ad Hoc Planning Committee made a trip to Des Moines to see the program in action. An effective method of data gathering used in Des Moines was for one of the Clark County representatives to spend time with his counterpart in the Des Moines criminal justice system. Thus, the Clark County Superior Court Judge spent a morning sitting in court with a Des Moines judge, and was thus able to see the impact of the pre-trial release (ROR) and supervised release components on pre-trial judicial decisions, and the impact of PSIs and the availability of the Fort Des Moines facility on post-conviction dispositional decisions.

Following the trip to Des Moines, the members of the Ad Hoc Planning Committee began a series of early morning planning meetings which continued over several weeks. These meetings were often scheduled at 7 a.m. to permit judges to attend before their courts were in session, and most of the members of the committee—despite the early hour and the major responsibilities of every committee member—attended the sessions. The device of using a broadly based planning committee worked on a number of levels. It not only streamlined the planning of a replication project, but it brought the key actors in the criminal justice system together as a group for the first time. As a result, problems in the existing system were isolated, concerns and disagreements were ventilated, and new working relationships—both formal and informal—were developed. The committee worked so well, in fact, that the County Commissioner indicated that even if the county were not to receive the replication money the planning process was a reward in itself, since it had isolated and dealt with issues that had never been recognized or confronted before.

Through a series of planning meetings, and through the data gathering efforts of the county probation department and the local criminal justice planner, the committee identified the local need for both pretrial and post-conviction correctional programs modeled on the Des Moines project. Existing system flow statistics were used to develop caseload projections for a replication program, and the committee developed both the procedures for the new project and a detailed replication project budget. Since the state of Washington was moving in the direction of decentralized community corrections and the legislature had recently passed an act which subsidized local communities that relieved the state of the burden of incarcerating felons in state institutions, Clark County also received a commitment that the state would contribute funds to the replication effort.

The replication project developed by Clark County was shaped by local needs and realities. It established a new Department of Community Corrections within the county government, with a director directly responsible to the County Commissioners. Within the new department, several existing criminal justice functions were combined with new replication components. Two new pre-trial components were established: an ROR and a supervised release component. Given the unmet need for intensive probation supervision, the new organizational structure absorbed the existing county misdemeanant probation office and added an Intensive Services Unit which would not only provide intensive probation supervision to the misdemeanants who needed it, but which would also be assigned probation responsibility for those felons whom judges felt needed intensive services (services

not currently provided because of the high caseloads of the state probation unit). The replication project also absorbed the existing work-release program and established a residential treatment facility patterned on Fort Des Moines.

B. San Mateo County, California

In San Mateo County, planning for the replication of the Des Moines project became the vehicle by which long-standing but unresolved conflicts within the county were addressed. The problem in San Mateo was not that the county lacked basic correctional programs. Even before it began planning for the replication project, San Mateo had three of the four Des Moines components in place. The county had an ROR program which was administered by the local Bar Association through a contract with the county. In addition, the county also had a probation department which was responsible for probation supervision of both misdemeanants and felons, and which also ran an existing community corrections facility (Ellsworth House).

The major criminal justice problem in San Mateo County, however, was based on geography and the lack of adequate booking facilities. San Mateo is a large county running almost 30 miles from its northern border (where it abuts the city of San Francisco) to the southern border at the base of the San Francisco peninsula. The county jail is located in Redwood City, at the far southern end of the county, and transporting arrested persons from the temporary city lock-ups in the northern areas of the county to Redwood City and then back to courts in the north was expensive both in terms of transportation costs and in terms of lost patrol hours for county Sheriff's deputies. The problem was complicated by the fact that the County Manager was initially committed to using the replication money to cover extra transportation expenses while the major cities in the northern third of the county wanted to build a centralized booking facility in the north. Communication between the county and the northern cities was difficult to achieve, and considerable disagreement had built up over the conflict of objectives.

The planning process used in San Mateo paralleled that of Clark County, in that a broadly based planning committee was developed early in the process. The planning committee, organized primarily by the Director of the local Regional Planning Unit and by an Executive Assistant to the County Manager, met throughout the planning process, and it was within the committee that the northern cities/county dispute was addressed and finally resolved. The planning committee consisted of the RPU Director, the Executive Assistant to the County Manager, senior representatives of the Sheriff's Office and the District Attorney's Office, the Director of the local ROR project, the Supervisor of Adult Probation, the Director of the local community corrections facility, and the project coordinator for the Select Police Service Coordination Project (an LEAA-funded coordination project in the four northern cities of the county).

Over a series of long and often heated meetings, the planning committee decided that the resolution of the dispute over centralized booking procedures was a necessary precondition of any replication attempt. The replication grant thus provided the lever which led the key actors in the San Mateo criminal justice system to solve a basic problem in their system. Specifically, the replication project was used to reduce the number of city lock-ups in use from five to three, and the largest city jail in the northern part of the county was designated for use as a central booking facility for defendants who were to be tried in northern district Municipal Court. In addition, the replication project provided for the facility to be staffed with "detention technicians" instead of city policemen or Sheriff's deputies.

Beyond addressing the centralized booking problems of the county, the planning committee also emphasized the need to coordinate and expand existing correctional programs. The ROR project was enlarged to serve the northern area of the county more efficiently, a supervised release component was added, additional probation officer time was allocated to the completion of "informal" presentence investigations which are often requested by the courts in less serious cases, and the direction of the program was tied to the County Manager's office. Although local political realities prevented the San Mateo replication project from uniting all the components in a single administrative structure, the project did represent an important step in the expansion of correctional services to all parts of the county.

In one sense, the task of replicating the Des Moines project was less difficult in San Mateo County than in other jurisdictions given the relative sophistication of the local criminal justice system and the fact that three of the four Des Moines components were already in place. However, the political problems that can constrain any new program were more intense in San Mateo County than in communities that had fewer correctional

programs and, therefore, fewer established interests in conflict. And although the resolution of the centralized booking issue was only tangential to the purpose of the Des Moines project in theoretical terms, it was of much greater importance as a correctional compromise which may lead to further program consolidation in the future.

C. Salt Lake County, Utah

The need for a replication project in Salt Lake County grew out of some of the same problems which existed in Des Moines. The city/county jail was badly overcrowded; fully half of the jail population was composed of defendants awaiting trial; and only six percent of all defendants were being released on their own recognizance. No program of pre-trial services was available to defendants. The post-trial options of judges having responsibility for sentencing convicted offenders were severely limited. And the services that were available were not coordinated in any meaningful way. Salt Lake County had a limited ROR project run by a private agency, but it was somewhat isolated from the rest of the criminal justice system and was releasing only a small minority of total defendants. No supervised release program, or other system of helping a defendant to build a track record prior to trial, existed in the community. Probation was a function of the State Department of Corrections, although the county operated a small alcohol and drug treatment program which offered counseling and probationary services. No community correctional facility on the order of Fort Des Moines existed, and the halfway houses administered by the Division of Corrections did not provide the intensive counseling and treatment-orientation of the Des Moines model. Finally, a major obstacle to replication was the different objectives and jurisdictional responsibilities of the Division of Corrections, the County, and the city of Salt Lake.

The planning process in Salt Lake County was organized primarily by the local Regional Planning Unit. As in the case of Clark County, the planners in Salt Lake County used a trip to Des Moines to build support for the replication project among the various key actors in the local criminal justice system: city and county law enforcement agencies, the local judiciary, the Division of Corrections, and the city and county governments. However, the main task was to develop an organizational structure for the program which would be acceptable to all of the major correctional interest groups in the community.

Drawing heavily on support from the judges who had been to Des Moines and supported the replication project, the RPU developed a city/county agreement by which a new administrative structure was developed. It took the name of its Des Moines counterpart—the Department of Court Services. This new Department was located in the county governmental structure, with the Director of the Department reporting directly to the Board of County Commissioners. A number of existing and new services were consolidated within the Department: an expanded pretrial release (ROR) program, a new pre-trial services (supervised release) component, a diversion component, an alcohol services unit (to be separately funded by the National Institute of Health), and an Adult Offender Rehabilitation Facility (the equivalent of Fort Des Moines). In addition, the county signed an agreement with the Division of Corrections by which the county used part of the replication funds to subsidize additional misdemeanant probation staff for the Division, staff which were to be given special training in the utilization of community resources for program clients. The county also contracted with the Utah State Department of Employment Security to hire one job developer and three employment counselors for assignment to the program (funding of the new slots was also provided by the replication grant). The state Division of Corrections continued to have responsibility for probation activities.

The Salt Lake County replication project accomplished a number of objectives. It established the principle that county government had the jurisdiction to provide pre-trial services and to operate a community correctional facility. It added a number of new correctional programs and consolidated and strengthened existing ones. And it worked out an administrative structure for correctional programs that increased coordination without causing major turf disputes between the various governmental agencies involved in corrections at the state and local level.

D. St. Louis County (Duluth), Minnesota

The replication planning process in St. Louis County was shaped not only by the need for new services, but by the growing regionalization of the criminal justice system in that area. No existing ROR or supervised release services were available in St. Louis County, and the high caseloads of the

county probation department ruled out intensive supervision services. A regional community correctional facility had been developed under the authority of a regional board, but the criminal justice system as a whole suffered from a fragmentation of services, a lack of pre-trial programs, and uncoordinated post-trial components. Superimposed on these problems were the strains of regionalization. Recent Minnesota legislation—the Community Corrections Subsidy Act, and the Human Services Act—indicated a statewide policy in favor of regionalizing corrections and other services, and the RPU serving St. Louis County also had jurisdiction over the vast seven-county Arrowhead Region in northeastern Minnesota.

Geography also played an important part in the planning process. St. Louis County alone is larger than the states of Rhode Island, Delaware, and Connecticut combined, and the need for services in the other three counties of the 6th Judicial Circuit was also intense. The major minority group in the area consists of American Indians, and the specialized criminal justice needs of the Indian population added to the difficulties involved in providing adequate correctional services.

As in Clark and San Mateo Counties, the planning process in St. Louis County was broadly based. Organized primarily by RPU staff, the head of the county probation department, and the director of the Northeast Regional Corrections Center (the local equivalent of Fort Des Moines), a planning committee was organized which included representatives from each of the major criminal justice agencies in the area (law enforcement, the judiciary, probation, local government) and which also included representatives of the Indian population. The planning committee was divided into a number of subcommittees, each of which had primary responsibility for the planning of an individual program component. In addition, the committee as a whole often met to address the difficult organizational and structural issues involved in replicating the Des Moines project in St. Louis County.

To provide correctional services throughout the vast 6th Judicial Circuit, the planning committee tied the use of the $250,000 in replication funding (which would pay for replication in the Duluth/southern St. Louis County area) to a separate grant of $123,000 from the LEAA regional office to permit implementation of the replication project in the northern area of St. Louis County (the Iron Range area) and the remaining three counties of the 6th Judicial Circuit. Eventual expansion into all seven counties of the Arrowhead Region was planned, but only after state funds became available under the new regionalization legislation.

Thus, the expansion of correctional services in the entire Arrowhead Region was the long-range goal, and the planning process focused on the steps by which that long range goal could be achieved. Formal replication of the Des Moines project in the southern St. Louis County/Duluth area (through NILECJ replication funds) was only a first step in a long-range regionalization plan. In the first stage, new components were added to the criminal justice system. A formalized ROR program and a supervised release component were developed. To reduce the high probation caseloads, new probation staff were also hired to provide an intensive supervision capability in the county probation department. And to improve the ability of the program to emphasize employment as a vital part of client treatment, a job development specialist was built into the project design.

Although the organizational goal of the program was to move toward a single regional correctional board, the short-term replication strategy involved the adoption of a structure by which the St. Louis County government was to establish a Department of Court Services and serve as the fiscal agent for the first stage of the replication effort. Day-to-day coordination of three of the project's components—ROR, supervised release, and probation—was to be the responsibility of the existing Probation Department, and the control over the community correctional center remained with the Northeast Regional Correctional Authority. As a long-term goal, the replication plan called for the development of an expanded Regional Correctional Authority which would incorporate the entire range of correctional programs for all of the counties in the Arrowhead Region.

In addition to developing a multiple-staged method of structuring the replication process, the planning committee also addressed the special correctional needs of the native population in the area. Recognizing that many Indians in the region neither own their own homes, nor have telephones, nor can be reached by mail, it was clear that the emphasis on verifying a stable history of residence in the standard ROR questionnaire would disqualify many Native Americans from being released on their own recognizance prior to trial. As a result, the design of the replication project also included a modification of the ROR point system which gave credit to Indian defendants for the total length of time spent in the county or general regional area. A similar

system will also be used to test the eligibility of residents of other rural areas of the Arrowhead Region.

E. Orange County (Orlando), Florida

As it began to plan for the replication of the Des Moines project, the Orange County criminal justice system reflected two major forces which had transformed the correctional needs of the county. First, the development of Disney World had caused a massive economic boom in the county and had led to a very rapid increase both in population and in the demand for criminal justice services. Second, the appointment of a new Sheriff a few years before had, in the words of several key actors in the criminal justice system, "brought the county into the 20th century in terms of correctional programs." A number of new correctional programs recently had been implemented within the Sheriff's office, but no integrated correctional structure had yet evolved to coordinate existing and planned programs.

The Orange County system had a number of correctional components in place when replication planning began. A new unit had recently been established in the Sheriff's office which performed two basic functions: ROR interviewing and the classification of prisoners. In addition, a Re-Entry Program which provided pre-trial diversion services and living accommodations for pre-trial defendants was in operation within the county government's Department of Community Affairs. Probation in Orange County was the responsibility of the local office of the Florida Probation and Parole Commission, and this office also performed a staff function for the courts in some cases in which ROR was requested by the defendant's lawyer. The county had no community correctional facility.

In addition to the need for new correctional programs, the major problem in Orange County was how to structure a Des Moines replication project. Although the Sheriff's office was the major power center in the county, the Sheriff felt that it was not appropriate for pre-trial components to be located in a law enforcement agency. Indeed, the new ROR program did not logically belong in the Sheriff's office, and some defense attorneys were uncomfortable with the idea that defendants were being questioned for ROR purposes by staff being paid out of the Sheriff's budget. The Re-Entry Program was a logical focal point for new programs, but the program had had problems in the past, and it was feared that the entire replication project would fail if a more solid organizational structure could not be developed.

The replication planning process in Orange County was organized primarily by the Sheriff's office with the assistance of the Re-Entry Program director. An initial agreement was reached with the State Probation and Parole Office whereby the limited ROR functions of the probation staff would be transferred to the county, and thus additional probation staff time would be freed for more intensive supervision services. And the Department of Navy agreed to make a facility available for use as a community correctional facility at the partially deactivated McCoy Air Base which the Navy now controlled.

The structural issue was resolved by establishing the replication project under the local Court Executive. Fiscal control over the project was given to the Orange County Board of County Commissioners, and a policy Board of Directors was created which included the Sheriff, the State's Attorney for the County, the local State Probation and Parole Supervisor, the Chief Judge, and one County Commissioner. The replication project consolidated a number of existing and new programs in Orange County. It absorbed the ROR unit formerly under the Sheriff's control, added a new supervised release component, absorbed the diversion and pre-trial halfway house services of the Re-Entry Program, and added a new community correctional facility. The diagnostic unit was left in the Sheriff's office, and the State Probation and Parole office continued to be responsible for probation services.

The new structure devised for the replication project in Orange County had a number of advantages. It provided a strong administrative structure outside of the Sheriff's office so that correctional programs and law enforcement programs could be separated. It provided a shelter for the Re-Entry Program, which had been threatened by a lack of solid administrative backing. And it improved the coordination of the state probation function with the other elements of the local correctional system. As in Duluth, the Orange County replication process emphasized the development of an immediate organizational structure which represented a first step toward a longer range goal. In the case of Orange County, the long-range goal was the development of a county Department of Corrections which will further coordinate the planning and implementation of correctional programs. Through the vehicle of the replication project, Orange County rationalized the administration of existing programs and provided a

structure within which future programs can be developed.

F. Replication Conclusions

Although these brief descriptions of the replication process in five of the six communities selected by the National Institute do not provide a comprehensive view of the problems faced and strategies developed by those communities, they do suggest the variety of replication experiences. The approaches taken in the replication sites varied considerably, but it is possible to draw some general conclusions about successful replication of the Des Moines project:

1. *Replication must be based on local realities.* Although the terms of the replication process required each community to establish all four of the Des Moines components, the final program which was developed in each site was shaped by a number of local realities. Each community based its replication process on a recognition that the Des Moines project required tailoring to the specific criminal justice needs, political concerns, structural constraints and organizational issues at work in the community itself. Thus, each replication experience, in its own way, represented a balance between what was needed and what was possible in the community. In each case, the planners of the replication project analyzed existing problems in the criminal justice system, identified optional program structures and procedures in terms of probable local acceptance, anticipated likely "turf disputes" involved in replicating the Des Moines project, and took steps to mitigate those disputes in advance. At the most basic level, therefore, the experiences of the replication sites indicate that slavish adherence to a preconceived "Des Moines formula" would not have worked in any community. Each community had to be taken on its own terms, and a replication effort framed accordingly.

2. *The replication planning process should be broadly-based.* Unlike some programs which involve only a few of the "key actors" in the local criminal justice system, the Des Moines project is complex. Its four components touch upon the areas of responsibility of law enforcement officials, prosecutors and public defenders, judges, local government officials, existing probation departments, and countless service delivery agencies. Although it is possible to plan a replication of the Des Moines project without involving all of the key actors in a criminal justice system, such a process would make little sense. For the goal in replicating the Des Moines project is not simply to establish four components which look like those in Des Moines. The goal is also to have those components *used* to decrease the level of unnecessary incarceration and to increase the quality of treatment that is offered to pre-trial defendants and post-trial convicts. Yet it is clear that, without the support of the judiciary, no defendant will be released on ROR or on supervised release, and no convicts will be assigned to a community correctional facility. Similarly, a prosecutor or a law enforcement official who is opposed to the implementation of the Des Moines project can also seriously constrain the effectiveness of the program. As a result, the need for a broadly-based planning process is a practical as well as a theoretical objective.

The experience in Clark, San Mateo, and St. Louis Counties also indicated that broadly based planning often leads to unexpected benefits. In those counties—which set up planning committees with the widest representation—the replication planning process went most smoothly. But, in addition, the simple fact that a wide variety of criminal justice "key actors" worked together in the committee also caused a number of non-replication issues to surface and be discussed. Although there is nothing new about the use of broadly based planning committees, in several communities the committee represented the first time all of the major criminal justice system participants had talked to each other about problems, policies, and possible new approaches.

3. *The replication planning process must focus on local "change agents."* One of the most important aspects of each replication planning process was not only to identify the "key actors" in a criminal justice system whose support would be needed to make the Des Moines project work in a community, but to identify those community leaders whose influence was essential to starting a replication process in the first place. Broadly based support for a program like the Des Moines project is important, but in every community, there are a few major "change agents," those who have the power—either formal or informal—to make a project happen. In Clark County, for instance, it is doubtful that the planning committee would have been organized and kept on track if the County Commissioner had not used his political and personal leverage to commit the community to a replication of the Des Moines project. Although change agents vary from community to community, the experience in the replication sites indicates that local government officials and judges are often the most important and effective advocates of the Des Moines concept at the local

level. Whoever the change agents in a community are, however, the important thing is to identify them early in the replication planning process and to keep them involved in that process throughout the planning period.

4. *Replication should be shaped by both long- and short-range goals.* Although the implementation of the Des Moines project in a community may often represent an important addition to the local corrections system, it is not a panacea. In St. Louis County, for instance, the long-range goal was to implement a comprehensive regionalized correctional system. In Orange County, it was to develop a Department of Corrections which would consolidate all correctional programs under the administrative control of the county government. In each case, the implementation of the Des Moines project was a short-range goal—an important step in the right direction but not an end in itself. As indicated in earlier chapters, the Des Moines project omits some very important correctional components, such as citation release and diversion. Thus, it is important, in any attempt to replicate the Des Moines project, to ask what the long-range goals of a community's criminal justice system are. What are the services, structures and procedures toward which the community should be moving? And how can replication of the Des Moines program—in whole or in part—be used as a vehicle for moving toward those long-range goals?

CHAPTER VII. REPLICATION—NEXT STEPS

This chapter addresses the question: If your community decides that it wants to replicate all or part of the Des Moines project, what does that replication process involve? Chapter VII outlines a rough work program for the replication process, and indicates some of the constraints that you are likely to face as you work your way through that process.

As indicated in earlier chapters of this training handbook, the Des Moines project is not a panacea for all of the corrections problems facing any community, nor is it a program that will fit the needs of every community. However, it is a program that has had a positive impact on the criminal justice system in the Des Moines area, and the four components of the project may make sense for your community as well. Ultimately, the decision as to whether the Des Moines project should be replicated—in whole or in part—in your community is one which can only be made by you and the other members of your local criminal justice system.

If you decide that replicating the Des Moines project in your community *does* make sense, the question remains: What is involved in replication? What tasks need to be addressed, and in what order? Chapter III presented a how-to-do-it description of the four Des Moines components in technical terms. In this chapter, however, the focus is on how-to-do-it in planning terms.

The following work tasks are only intended to be suggestive of the steps involved in a replication planning process. Some of them may not be necessary in your community, and you may well add others to this list. But as you begin to think about the "how" of replication, this checklist of tasks may help to get you started.

A. The Replication Planning Process

1. *Organize a replication planning committee.* The experience of the five replication sites discussed in Chapter VI indicates the importance of organizing a broadly based replication planning committee. Much of the success of the planning process in Clark County, Washington; San Mateo County, California; and St. Louis County, Minnesota, can be traced to the fact that replication planners in those communities made an early effort to involve a wide range of criminal justice system "key actors," representatives of local service agencies, major employers, and others in the planning process. A broadly based planning committee has several advantages. By involving a wide range of community representatives, the planning process is enriched by incorporating a number of different perspectives about correctional values and objectives. And by involving certain key actors at an early stage in the planning process, it may be possible to anticipate and defuse possible later opposition to the replication effort. It is not always possible to win over possible opponents of replication by involving them in the planning process, but it often helps.

Organizing a broadly based planning committee is discussed here first because of the importance that it had in the formal replication sites. But that does not necessarily mean that you will want to make it your first task. As in other tasks discussed in the replication work program, you will have to decide on the appropriate order for planning tasks in your community.

In some communities, early organization of a planning committee will indeed be the logical first step. In others, however, it may make sense for you and others who favor replication of the Des Moines project to maintain a low profile for awhile. In any case, you are the best judge of your community, and you will have to decide when the time is right to form a planning group.

2. *Analyze the present system.* One of the first tasks in any replication planning process is to take a hard look at the existing criminal justice system and correctional programs in your community. One good way to begin is by reviewing the way in which your criminal justice system is formally organized. In terms of *legal requirements,* what state laws, court rules, or local ordinances dictate the structure and process of your criminal justice system? In some states, a decision to replicate the Des Moines project can be made at the local level. In others, replication will be possible only if state laws are changed, or if the Attorney General of the state interprets existing state laws in new ways.

After you have a good sense of the degree to which your local community has the legal authority to institute new correctional components, the next task is to review the *structure* of your existing criminal justice system. One technique you might use is to draw a rough organizational chart of that system. As you draw the chart, you probably will be asking yourself: Which agencies or departments of state or local government have responsibility for various elements of the criminal justice system? Who are the "key actors" in your criminal justice system, and to whom are they responsible? What role does the county commission play in the criminal justice system? The sheriff? The local prosecutor? The courts? Local community service agencies? Does your system have an ROR component or a community-based correctional facility? Is probation a state or county responsibility?

In addition to reviewing the formal structure of the criminal justice system in your community, you should also focus on the many *informal* ways in which that system is structured. The way most criminal justice systems function on a day-to-day basis often varies considerably from the formalities of an organizational chart, so try to isolate the actual mechanisms and procedures which characterize the system in your community.

As you trace the method in which your criminal justice system really works, also review the *fiscal basis* of your system. How are local criminal justice programs funded and by whom? Does your state subsidize local communities which establish correctional components that relieve the burden on the state prison or some other agency or institution?

As part of your review of the existing criminal justice system, you will also need to conduct an informal *needs analysis*. After identifying the range of correctional programs that are currently available to accused and convicted offenders at the pre-trial, post-trial and post-institutional stages in your community, the next questions that need to be asked are: What correctional needs are currently unmet? How does the existing lack of correctional programs affect the local jail population, the disposition of cases, recidivism rates, etc.? In this step you will be trying to identify those areas in which the present system fails to address the correctional needs of the community. At this point you might want to review the "universe" of corrections programs discussed in Chapter V of the handbook, as well as the four Des-Moines components. As you discuss your criminal justice system with other "key actors" in the community, what are the problems most often identified in that system? And to what degree would alternative correctional programs, structures, and procedures help to fill unmet needs in the system?

In some communities which have a number of existing correctional components, the main problem may prove to be a lack of coordination among various elements of the criminal justice system rather than a lack of programs themselves. One of the most important ingredients in the success of the Des Moines project is the degree to which all four correctional components are coordinated through such techniques as formal information sharing procedures and staff rotation. Thus, you should think about the linkages between the various elements of the correctional system in your community. Are those elements well coordinated so that the effectiveness of good correctional components is not diluted at a later point in the system? Or are the existing correctional components in your community fragmented either in terms of administrative control or functional operations?

In other communities the main problem may simply be that the existing criminal justice system lacks basic correctional components. Without a formal ROR component, for example, judges typically lack the objective information upon which to base a decision about whether a defendant should be released on his own recognizance. Or, if your community's jail is chronically overcrowded, the problem may simply be that there is no facility (such as Fort Des Moines) which provides an alternative to ordinary incarceration.

As you conduct a needs assessment for the criminal justice system in your community, you may discover a lack of data about the way in which the system currently works. For example, during the Clark County, Washington, replication effort there was a general recognition of the need for a formal ROR component to be added to the local system. Yet no organized data was available which indicated the number of pre-trial defendants who were released on bail, through informal ROR, through the 10% bail deposit system, or the number of defendants who remained in jail pending trial. Thus, one of the basic tasks in the Clark County planning process was to gather raw data from the courts, the jail, and the prosecutor, and to organize it to show the degree to which a formal ROR component was actually needed. As a practical matter, *data gathering* is not only an important planning task, but also a valuable method of building support for replication among the "key actors" of the criminal justice system. Statistics often are more persuasive than correctional theories in organizing a replication process.

3. *Identify correctional objectives.* Although it is impossible to isolate problems in an existing criminal justice system without having a set of values which defines what "problems" are, it is important in any replication planning process to be explicit about objectives. In most communities, you will find no easy consensus about the objectives of correctional programs. Within every system there are typically many competing—and sometimes antagonistic—objectives. As discussed in Chapter II, most correctional systems generally reflect a number of trade-offs between objectives. For example, in the Des Moines project, residents of Fort Des Moines are given more freedom than inmates of conventional county jails, because freedom and individual responsibility are viewed as essential ingredients in the rehabilitation process. Yet the freedom required for rehabilitation may conflict with another objective of the criminal justice system—preventing convicted offenders from committing new crimes while assigned to correctional programs. In Des Moines, a few residents of Fort Des Moines have gotten into trouble while assigned to the community correctional facility, but the rehabilitation benefits of the Fort Des Moines approach are judged important enough to justify an occasional problem with a resident of the facility.

One of the basic tasks in any replication planning process, therefore, is the definition of correctional objectives. If your community lacks pre-trial components, one objective might be to add new programs to increase the percentage of defendants released on their own recognizance by a specified amount. Objectives can range from the general (e.g., to reduce the future criminal behavior of convicted offenders) to the specific (e.g., to raise the employment rate among convicted offenders by an average of 25% during the time of their assignment to post-trial correctional programs). Whatever the objectives finally adopted in your community, it is important to keep returning to a discussion of correctional objectives throughout the planning process. The various key actors in your criminal justice system are likely to express a wide variety of objectives. The interplay of competing objectives and values will not only help to inject new ideas into the planning process; it will also help you to avoid the creation of unreal expectations about what the replication project can be expected to accomplish.

4. *Identify the "Key Actors" in your criminal justice system.* If you have not already identified the key actors in your criminal justice system, this is the time to start. Unlike criminal justice programs which involve a single component and involve only one or two of the individuals or agencies in your system, the Des Moines project is complex. Since the four components of the Des Moines project touch virtually every other agency and individual in a criminal justice system, you need to begin thinking about the concerns you are likely to uncover in dealing with those agencies and individuals. Thus, the question is: Who are the "key actors" in your criminal justice system?

It is not hard to imagine how the key actors in your system can affect a replication project. In the case of the four Des Moines components the list of key actors who are likely to have concerns about the replication project is a long one:

- *Law enforcement officials*, such as the county sheriff and local police chiefs, are likely to be concerned about the procedures and criteria by which defendants are released on ROR or to the supervised release staff. If you plan to develop a facility like Fort Des Moines, they need to be consulted about the fact that clients will be returning to the community to work, go to school, or receive assistance from a range of community agencies. In the Des Moines project, law enforcement uneasiness about the program developed early and subsided only gradually.
- The local *prosecutor* is also likely to be concerned about pre-trial release criteria, and the degree to which the prosecution process will be affected by ROR and supervised release.
- The *public defender* in the community will generally be interested in the degree to which the program's pre-trial components will release additional defendants and thus increase their ability to take part in the preparation of their own defense. As the individual in the criminal justice system who most often serves as an advocate for the potential clients of a community corrections project, the public defender may be expected to take an active interest in replication planning.
- Local *judges* are critically important. Even if your community were to replicate the entire Des Moines project, the effort would be useless if the judges did not support the program. For it is judges who must approve a defendant's release to an ROR or supervised release unit, and it is judges who have the responsibility for sentencing an offender after conviction. If a judge lacks confidence

in one or more of the replication components, it is clear that those components will be assigned few clients.

- Existing *probation* agencies (whether state or local) are also likely to be directly affected by any replication project. Of the four Des Moines components, probation is the one which most communities already have. As a result, any attempt to modify existing correctional components or institute new ones will almost invariably involve the probation department's "turf."
- *Local government officials* are also important to any replication process. Since replication typically will involve changes in existing structural arrangements, the approval of the county board may well be required. In addition, local government officials may be expected to be quite interested in the costs and benefits which are likely to be associated with a replication project. As the Clark County replication experience indicates (see Chapter VI), the active support of county commissioners in the replication planning process can be a tremendous asset.
- The *local criminal justice planner* in your community may also be expected to play an important part in the planning of a Des Moines replication process. In addition to helping you as you identify your community's correctional needs and set correctional objectives, a planner can help to anticipate problems and constraints involved in any replication process. Perhaps most important, the local criminal justice planner will often have the best sense of the availability of regional, state or local funding for a replication effort. (A more detailed discussion of funding sources appears in paragraph 6.)
- *Representatives of community agencies* are important as well. The Des Moines project is a "community-based" correctional system, and that means that you will need to coordinate the planning of a replication project very closely with existing community agencies. A key element in the treatment orientation of three of the Des Moines components (supervised release, probation, and the community correctional facility) is the effective use of existing services, so it is important for you to know precisely what type of services each local agency can provide and how much (if anything) those services will cost the replication program. It is equally important for local agencies to understand what it is that you are planning. The range of "key agencies" will, of course, vary from one community to the next. In identifying the agencies in your community that are important to the replication effort, it may help to remind yourself of the types of community services most often used in Des Moines: job development, vocational rehabilitation and training, educational upgrading, psychiatric treatment, family and marital counseling, drug and alcohol abuse treatment, fiscal management counseling, housing assistance, welfare assistance, and health care.

In your community, there may be even more key actors than those listed above. The important thing at this stage of the planning process is to identify *all* of the key actors in your community's criminal justice system. And, as the list above indicates, a key actor is any individual or agency that is likely to be involved in some aspect of the replication project if it becomes a reality.

5. *Identify structural options and potential "Turf Disputes"*. One of the most difficult tasks in the planning process of all of the formal replication sites was to decide how to structure the replication project. In Des Moines, this problem was less severe because the existing criminal justice system had few components in place when the community corrections program began to evolve. Only the state probation component was on the scene, and the absorption of the probation function by the Des Moines program was accomplished gradually. Nonetheless, some friction was generated between the Des Moines project and the state Department of Corrections.

In many of the formal replication sites, however, the planning process became very complex as the issue of program structure was addressed. Simply put, the issues which eventually arise in any replication process are: How will the new project be organizationally structured? What functions will the project perform? And to what body will the project report?

The structural issue is highly charged because it—unlike theoretical discussions about correctional objectives—has very real "turf" implications. The criminal justice system in any community consists of a web of overlapping and interconnected functional responsibilities. The functioning of some systems actually parallels the process described on their organizational charts. Other systems function

very differently in fact than on paper. And in some, day-to-day functioning is shaped more by politics and personalities than by any formal relationships. Any new program, by definition, requires a change in the existing system. It raises the possibility not only of functional changes in the system, but of shifts in the power and responsibilities of the "key actors" in that system.

Although anyone who has worked in a criminal justice system does not need to be told about the importance of "turf" as a planning constraint, it is important to remind yourself of possible turf disputes as you begin to think about the alternative ways in which the replication project might be structured. Thus, the questions which need to be asked at this point in the planning process are: What correctional functions will the replication project perform? Will it assume responsibility for functions (e.g., probation) now performed by other individuals or agencies? To what agency or governing body will the new project report? How will coordination be translated into specific structural changes in the existing criminal justice system? Of the "key actors" in the existing system, which ones are likely to lose "turf" or power if the replication project is implemented? Which ones stand to gain new "turf" or power?

Speculating about politics and possible turf disputes can get out of hand, since it's often more fun than the hard tasks involved in planning a replication process. Therefore, it's just as important not to overestimate the importance of "turf" as a motivating force than it is to ignore turf entirely. In general, the best solution is to identify possible turf disputes as just one type of constraint which the replication project is likely to face, and then get back to the business of building support for the project.

6. *Identify possible funding sources.* After the Des Moines project was designated "exemplary," the National Institute of Law Enforcement and Criminal Justice (NILECJ) allocated $1.5 million to test whether formal replication of the project would work in several sites around the country. A total of six replication sites (see Chapter VI) received $250,000 each to replicate all four of the Des Moines components. Since no additional replication funds are available from NILECJ, the question, therefore, becomes: How can a replication project be funded?

As you might have expected, there is no easy answer to that question. To a large degree, it depends on what type of "replication" your community needs. As indicated throughout this handbook, there are many forms of replication. In communities which already have a full range of correctional programs, the real problem may be that those components are not well coordinated and thus are not fully effective. In such cases, "replication" may primarily involve the making of structural and procedural changes in your existing system. Although such changes are often among the most difficult to make, they generally do not involve major expenditures of funds. As a result, the funds needed for replication will be few.

However, communities which have very few correctional components may need to replicate all, or a major portion, of the Des Moines project. And, as Chapter II of the handbook indicated, the dollar cost of the Des Moines project is high. In these communities, the appropriate strategy may be "incremental replication". For instance, the ROR component of the Des Moines project is the one component which is not "treatment-oriented" and, therefore, it does not require a large counseling staff. As a result, the ROR component is far cheaper than supervised release, probation, or the community correctional facility. Thus, communities which cannot afford the entire package of Des Moines components at one time may decide to start the replication process by adding an ROR component to the criminal justice system. Then, as additional funds become available in the future, other Des Moines components can be added. However, if your community adopts this approach, you will have to be especially careful to structure the project in such a way that it is able to absorb additional components without needing major structural overhaul in the future.

In some communities, incremental replication may be viewed as too slow a process. You or others in your community may feel that you want to replicate the entire Des Moines project all at once. In these cases the need for major funding will be obvious. (The method by which you can estimate the cost of replicating the Des Moines project in your community is discussed below.)

Although the formal replication sites did receive funding from the National Institute, none of the replication projects relied on NILECJ funding alone. In Clark County, funds from existing local programs were consolidated, the county government committed some new monies, and the program also received a commitment of state funding. In addition, the new Washington state adult probation subsidy legislation will provide funds for communities that reduce the burden on state institutions. In San Mateo County, the county government also contributed local funds to the replication effort. The Salt

Lake County replication project included a discretionary grant from the Region and the State Planning Agency, funding provided by the state legislature, and funds from the RPU and both the city and county governments. In St. Louis County, the replication project relied on funding from both state and county sources and a discretionary grant from the LEAA Regional Office. In Orange County, the Navy gave the replication project the use of a building to house its community correctional facility,and the project also received county and SPA funding.

Thus, as you begin to look for possible funding for the replication of the Des Moines project in your community, try to make your search a wide one. For a start, you will probably find that your local criminal justice planner has a good sense of the funding priorities of the SPA and the LEAA Regional Office. After you find out whether discretionary funds are available at either the state or regional level of LEAA, the next place to look is your state government. Not every state has enacted legislation which provides financial assistance for local communities that develop new correctional programs, but new "community corrections" bills have been introduced in a number of states, and you should check the status of such initiatives in your state. Discussions with a member of the state Department of Corrections staff might also turn up some funding suggestions.

Finally, you should explore the possibility of securing local funding for the replication project. Since many counties have chronically overcrowded jails, you should check the status of the jail in your community. Remeber that in Des Moines, a major impetus behind the creation of the community corrections program was the condemnation of the Polk County jail. Polk County was faced with the option of building a new facility which could have cost $3–5 million, or of finding a way to lower the jail population so that renovation of the old facility could begin. Community correctional programs clearly involve lower capital costs than do new jail construction, and even the higher operating costs may be at least partially offset by other savings. Therefore, you should try to make a careful analysis of the financial implications of the various options facing your local government—including replication of the Des Moines project.

As you look at the possibility of local funding for a replication project, don't overlook the city governments located in your county. Although the correctional responsibilities of many cities have been transferred to the county, different communities have different methods of sharing both correctional responsibilities and costs. And, finally, you should also look at the possibility of tapping other local agencies, firms, or institutions for buildings, goods, or services that can help to defray the cost of the replication project. In almost every community, there is a building that is owned by a public or private agency that can be used for a community correctional facility at little or no cost. It may be a partially unused VA hospital, part of a military base, or even unused space owned by a private corporation. You won't always find free space, but it doesn't hurt to ask.

7. *Put the package together.* Since, in most communities, you will be seeking new funds for the replication project, that means that you will probably be putting together a funding application at the end of your planning process. As part of that process, you will need to develop caseload projections and staffing patterns, an organizational chart, and a project budget.

a. *Caseload projections and staffing patterns.* You won't be able to estimate the budget necessary for a replication of the Des Moines project until you have decided how many project staff you will need. And you can't set staffing levels until you have a sense of the likely caseloads for each component of the replication project. Thus, as you near the end of your planning process, you will have to determine how many clients are likely to be served by the various components that will be added to the existing criminal justice system. For example, how many defendants will be interviewed for ROR each day? What are the peak times of the day and days of the week for new bookings of arrested persons? Will ROR staff be on call 24 hours a day, or only at certain times of the day? How long does it take to verify the information given on an ROR questionnaire? How many staff persons will the ROR component need?

These or similar questions will have to be answered for each of the replication components. And, in order to give reasonable answers to these questions, you will probably have to gather some additional data about the manner in which your criminal justice system currently works. You may have to review statistics on the number of persons who are arrested each year, identify trends in arrest rates, and discover how defendants are currently spending the pre-trial period (receiving ROR, posting bail, remaining in jail), before you will be ready to make caseload projections for a new ROR component. In Clark County, Washington, the planning committee scheduled an all-day session at

which current statistics were presented about the criminal justice system, the procedures for each component were finalized (e.g., deciding to have ROR interviewers available on a 24-hour-a-day basis), and caseload projections were then made. Although there is no way to make perfect estimates of component caseloads, the Clark County process worked quite well. Since the planning committee included virtually every key actor in that community's criminal justice system, the prosecutor, public defender, sheriff and several judges discussed past arrest rates, and pre-trial disposition trends, and reached a general conclusion about how the institution of a formal ROR system would change current trends. The process was repeated for each of the four components until a complete set of caseload projections was developed.

Once you have established caseload projections for each component, you still may have to make additional project policy decisions in order to translate component caseloads into staffing patterns. For example, if you have projected that the community correctional facility will have a capacity of 40 residents, you must still decide how many staff you will need to work with those 40 clients. And that decision has implications about the entire approach which your community takes in replicating the Des Moines project.

In the Des Moines project, there is approximately one staff member at Fort Des Moines for every two clients (staff members who monitor the control desk are counted as counselors since they do work with clients). If the community corrections facility planned for your community is projected to have a 40-client capacity, and a total of 20 staff are assigned to the facility, your facility will obviously have the same ratio of staff to clients as Fort Des Moines. However, if a decision were to be made to assign only 8 staff to the facility, the nature of the client/staff relationship would be changed and your facility—whether successful or unsuccessful—would not involve replication of Fort Des Moines' emphasis on one-to-one counseling. This is not to say that variations from the Des Moines approach are necessarily bad. It does, however, indicate that staffing pattern decisions may involve much larger decisions about the correctional philosophy to be embodied in your replication project. And it is important that these decisions be analyzed carefully as you approach the end of your planning process.

b. *Organizational chart.* By the time you reach this stage in the planning process, you will have reviewed the existing structure of your criminal justice system, identified the new correctional components needed in that system, isolated key actors and potential turf disputes, and made some decisions about how the replication project will be structured. Now, as you prepare an organizational chart for the project, you can review the project structure one final time with the members of the planning committee. Functional lines of authority that some committee members have taken for granted may come as a surprise to others, and the development of a project organizational chart often is a useful way of getting such confusion out in the open where it can be resolved.

As you develop the organizational chart, try to include not only the formal lines of authority (e.g., component supervisors report to the replication project director who, in turn, reports to the county commission), but also the channels of coordination that are expected to tie components which are formally outside of the project to components which are part of the replication project. Coordination is easy to draw on a chart, but hard to achieve. Yet the process of indicating the type of coordination which is expected may help somewhat to bring it about.

c. *Project budget.* Once you have developed caseload projections and staffing patterns for the project, it is a fairly easy task to finalize the budget. First, the planning committee should set salary levels for every staff position. However, before salaries are established, it is generally a good idea to talk to the personnel director for your county. If your county has a civil service system, this will have an impact not only on the type of staff hired by the project, but on their salary level. For instance, it is often difficult to adopt the Des Moines policy of paying professional and non-professional counselors the same amount if your community has a civil service system. Some communities have talked of avoiding this problem by having the entire replication project operated as a private, non-profit agency which contracts with the local government for the delivery of correctional services. This issue may not arise in your community, but it does make sense to check it out in advance.

As you begin to set salaries, there are a couple of points to keep in mind: (1) The Des Moines project is not a simple correctional program. If it is to be replicated successfully, you will need a very talented project director and a dedicated staff; (2) In hiring staff in general and project directors in particular, you usually get what you pay for.

Finally, when you prepare the final project budget, remember that all four components (if you

are replicating all four) might not start at the same time. Most formal replication sites staggered the initiation of the four components over a period of several months. If you do stagger starting times, you will not be paying all of the project's staff for the same number of months, and your operating costs for the first year of project operation will be reduced accordingly.

B. The Implementation Process

After you have completed the replication planning process, put together an application for project funding, received the necessary approvals for the project, and finally received funding assurances, you will be ready to begin the process of implementation.

Although the experiences of the formal replication sites indicated some of the constraints which you are likely to face during the planning process, and identified some suggested strategies for dealing with those constraints, there are fewer guideposts to help you work your way through the implementation process. As you begin to develop an implementation work program, it will be helpful to contact some of the replication sites discussed in the previous chapter.

Although little experience about the other implementation processes is available so far (the experience in Des Moines is not directly relevant since that program evolved over a period of several years), there are some implementation tasks that will obviously need to be addressed. Some of the more important include:

1. *Hiring a Replication Porject Director.* One of the first implementation tasks which you will have to address is the selection of a project director. Some of the replication sites have attempted to make the search for a project director as broadly-based as the planning process itself. Given the importance of the director's job, your selection of the person who will run the replication project will likely have a great deal to do with the project's eventual success. Thus, it may make sense to organize a selection committee that includes those key actors who have participated most directly in the replication planning process. Since they will have spent a lot of time discussing both the theoretical and practical objectives of the project, they are likely to be sensitive to the need to select a director who shares those objectives. It is obvious, but important to remember, that a project director who has a very conventional view of corrections will probably find it difficult to replicate faithfully the more innovative approach implicit in the replication project.

One other important issue is: Who will hire the project staff? In communities where the replication project will absorb components which already exist in the community, it is clear that most of the staff of the existing components will become staff members of the replication project. But what about the new staff that needs to be hired? If at all possible, give the new project director the chance to hire his own staff. As indicated above, the replication project will need a highly talented project director if it is to succeed, and it makes little sense to hire a good director and then tie his hands by selecting key members of the replication project staff for him. If the project director is to be responsible for the quality of the replication project, he must also have the ability to hire and fire the staff members that work on the project.

2. *Training Project Staff.* As the staff of the replication project is hired, it will be necessary to institute some method of training that staff. The Des Moines project components involve sensitive issues (e.g., the release of defendants accused of committing serious crimes; treatment of convicted offenders in the community itself) and mistakes early in the implementation process may generate considerable community opposition and endanger the future of the replication project. Thus, it is important to prepare replication project staff carefully before beginning to provide component services.

Although the method which the project director uses to train the staff will vary depending on the experience of the staff which is hired, the Des Moines project does use a system that seems to work well. When a new staff member joins the Des Moines program, he or she is assigned to each of the project's four components for a few days. This orientation process lasts for approximately one to two weeks. This method of providing new staff orientation not only familiarizes each staff member with the other components of the program, but also emphasizes the need for close coordination of the project's four components. In addition, the Des Moines project makes use of staff rotation among components, multi-component staff meetings, and a project newsletter, all of which help keep staff members aware of activities in other parts of the program.

3. *Setting up an evaluation process.* Although it's difficult to think about evaluating a replication project at the beginning of the implementation process, that is the time when evaluation must

begin. The concept of community corrections is a new one in many communities, and you can expect the replication project to receive a lot of attention. Public officials at both the state and local level are likely to be very interested in the degree to which your replication project meets its objectives, and the community as a whole may be concerned about the public safety implications of the project. And since continued funding for the replication project will be a constant concern, it will be very important to develop an evaluation of the project after its first year or so of operation.

If you are going to evaluate your project at the end of its first year, you will need to start preparing for that evaluation as the project begins. Although the steps in an evaluation process would take another work program to describe fully, the basic things you will need are:

- Statistics which show the way in which your criminal justice system worked before the replication project began (e.g., skip rates for defendants released on bail or on their own recognizance; recidivism rates for those sentenced to state prison or county jail, and for those placed on probation).
- A clear set of objectives which the replication project is expected to accomplish.
- Data which indicates the results actually achieved by the replication project (e.g., post-implementation skip rates, recidivism rates, increases in client employment, or educational levels).

The implementation process will inevitably involve a series of tasks which arise as you learn whether the coordination mechanisms and the organizational structure which you spent so much time planning really work. Since every replication project will develop in its own way, it's impossible to predict all of the problems, issues, and procedures that will have to be confronted as replication begins to happen in your community. It *is* certain that you will need ideas, help, and advice from time to time. At those times, remember that you can always ask for help from a number of sources. The local Regional Planning Unit which serves your community will probably be of considerable help throughout the replication process. In addition, you may also want to discuss implementation problems with the corrections specialist at your State Planning Agency or with correctional staff at the LEAA Regional Office. And since the National Institute of Law Enforcement and Criminal Justice will have helped a number of communities replicate the Des Moines project, NILECJ staff may be able to provide valuable suggestions. Finally, you can always go the the Des Moines project itself. Most of the problems, constraints, and issues which you think you are facing alone have probably occurred in Des Moines in the past, and staff members there can help you with ideas or advice.

APPENDIX: FORMS AND LEGISLATION USED IN THE DES MOINES PROGRAM

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INMATE STATUS SHEET

Date:_____ Jail Population_____

Name:_____ Individuals held in lieu of bond_____

Date Booked At Co. Jail	Name	Age	Offense	Bond			

ROR Form 1

INMATE STATUS SHEET

Jail Population_____

Individuals held in lieu of bond_____

e	Age	Offense	Bond				

A-1

A-2

ROR Form 2, page 1 of 4

Pre-Trial Release Interview Form

FIFTH JUDICIAL DISTRICT OF IOWA
DEPARTMENT OF COURT SERVICES

File Number (ROR)

Division

File Number (RWS)

Name
Last First Middle

Aliases

Social Security No.

Age___ D.O.B.___ W B O M F

Present Address

___ With

Own___ Rent___ How Long?

Present Phone

Previous Address

___ How Long?

Total address changes in last 12 mo.___

Address During Release

Phone During Release

Place of Birth

How Long in County?___ 5th Dist.?___

Other States?

Marital Status___ Education

Offense

Bond___ F I M T

Co-Defendant(s)

Arrest Date___ Dept.___

Prelim. Arraign. Date___ Judge

DOCKET #

ROR___ RWS___

DMPD

BCI___ FBI___

REMARKS

Interview Date

Interviewer

ROR R4A R4NA
R1 R2 R3 NR

RWS Accepted___ Rejected___
Date
Interviewer

Release Date

Releasing Judge

Released ROR RWS RCS

Counselor

Preliminary Hearing

Court___ A NA

Date___ Time___

Disposition

Court___ A NA

Date___ Time___

Disposition

District Court Arraignment

Notified

Appeared

Court

Date

Disposition

Defense Counsel

Phone

Court Appointed___ Private___

Public Defender

3/74

EMPLOYMENT HISTORY

Present Employer_____ Address_____

Phone_____ Job Title_____ Earnings_____

How Long?_____ Can you return to employment?_____

Total number of jobs in last 12 months_____

Former Jobs

1. Employer_____ Address_____

   Job Title_____ Earnings_____ Date Left_____

   How Long?_____ Reason for Leaving_____

2. Employer_____ Address_____

   Job Title_____ Earnings_____ Date Left_____

   How Long?_____ Reason for Leaving_____

3. Employer_____ Address_____

   Job Title_____ Address_____

   How Long?_____ Reason for Leaving_____

Supported by Self, Family, Other_____ You Support_____

Vocational Goals_____

PRIOR RECORD

Juvenile

Charge	Where	When	Disposition

Number of juvenile felony convictions_____ Age at first offense_____

Adult

Charge	Where	When	Disposition

Number of Adult jail sentences_____ Prison Sentences_____

Have you ever been on probation or parole?_____ Now?_____ Violated?_____

Probation Officer_____ _____
Name Agency

Do you currently have a case pending in any criminal court?_____

Details_____

_____

REFERENCES

Relatives (if any)

Verify	Name	Relation	Address	Phone	Frequency
____	_____	_____	_____	_____	_____
____	_____	_____	_____	_____	_____
____	_____	_____	_____	_____	_____
____	_____	_____	_____	_____	_____

Other

____	_____	_____	_____	_____	_____
____	_____	_____	_____	_____	_____
____	_____	_____	_____	_____	_____
____	_____	_____	_____	_____	_____

Marital Status

Single___ Married___ Divorced___ Separated___ Widow(er)___ Common Law_____

If married, wife's maiden name_____

Marriage Date_____ Number of Children_____

If divorced, when_____ Is it final?_____

How many children supported_____ Amount_____

Health

Any health problems that limit employability?_____

_____

Presently under care of physician?_____ Who?_____

For What?_____ Medication_____

Drug Problem?_____Alcohol Problem?_____

Have you ever been treated for Alcohol Abuse?_____Drug Abuse?_____

Date_____ Where_____

Date_____ Where_____

Have you ever been treated for mental illness?_____

Date_____ Where_____

Date_____ Where_____

Military Service

Ever Served?_____ Branch_____

Discharge_____ Date_____
(Type)

Will you be leaving the county between now and the time of your trial?_____

Between now and trial you can be reached at_____

_____
Address Phone Time of Day

CONFIDENTIAL: FOR STAFF ONLY

FIFTH JUDICIAL DISTRICT PRE-TRIAL RELEASE PROJECT

POINT SCHEDULE

To be recommended for release on his own bond, a defendant needs:

1. Address in Fifth Judicial District where can be reached, AND,
2. A total of five (5) points from the following categories:

INT	VER	
		RESIDENCE
3	3	Present residence one year or more
2	2	Present residence 6 months..OR..present and prior 1 year
1	1	Present residence 4 months..OR..present and prior 6 months
		FAMILY TIES
3	3	Lives with wife* AND had contact** with other family members
2	2	Lives with wife or parents
1	1	Lives with family person whom he gives as reference

Note - Wife* (If common-law, must have been living together for two years to qualify as "wife")

Contact** (Must see the person at least once a week)

		TIME IN FIFTH JUDICIAL DISTRICT
2	2	Five years or more
		EMPLOYMENT
4*	4*	Present job one year or more
3*	3*	Present job four months..OR..present and prior 6 months
2*	2*	Present job one month
1*	1*	Current job OR unemployed 3 months or less with 9 months or more on prior job OR receiving unemployment compensation or welfare OR supported by family

*Deduct one point from first three categories if job is not steady, or if not salaried, if defendant has no investment in it.

		PRIOR CRIMINAL RECORD
3	3	No Convictions
2	2	No convictions in last year
1	1	Misdemeanor convictions(s) in last year
0	0	One felony conviction
-1	-1	Two or more felony convictions
___	___	TOTAL POINTS TOWARD RECOMMENDATION

PRE-TRIAL DAILY RECORD

NAME	INV	ADDRESS	CHARGE	FIN. REC.	FILE	BAIL	CT	DISPOSITION	REMA

PRE-TRIAL DAILY RECORD

A-6

INV	ADDRESS	CHARGE	FIN. REC.	FILE	BAIL	CT	DISPOSITION	REMARKS

ROR Form 3

CLIENT INDEX FILE CARD

Name:
Address:
Date of Birth:

Date Interviewed:
File Number:
Charge Arrested on:

Bond:

Interview Disposition: ROR___ RWS___ Detained ___

Case Disposition:

Date on Probation:

Charge Convicted on:

Date Off Probation:

A-8

JUSTICE RESEARCH

EVALUATION CODESHEET ROR Form 5, page 1 of 2

Form 10274

DEFENDANT CHARACTERISTICS - AT TIME OF ARREST

I.D. NUMBER (Leave Blank) [ ][ ][ ][ ][ ][ ][ ][ ] (1 2 3 4 5 6 7 8)

NAME _____ (Last / First / Middle)

DATE CODED: Month [ ][ ] Day [ ][ ] Year [ ][ ]

CODED BY: _____ [ ][ ][ ] (9 10 11)

1 COURT DOCKET NUMBER [ ][ ][ ][ ][ ][ ]

2 SOCIAL SECURITY NUMBER [ ][ ][ ][ ][ ][ ][ ][ ][ ]

3 DATE OF ARREST Month [ ][ ] (12 13) Day [ ][ ] (14 15) Year [ ][ ] (16 17)

4 STATUS AT TIME OF ARREST [ ][ ] (18 19)

00 In no correctional program
01 Awaiting trial--released on recognizance
02 Awaiting trial--released under volunteer supervision
03 Awaiting trial--released to Pretrial Release Project
04 Awaiting trial--released to Pretrial Services Project
05 Awaiting trial--released on bond
06 Awaiting trial--assigned to residential corrections
07 Wanted for non-adjudicated offense
08 Serving sentence in minimum security program (i.e., residential corrections)
09 Serving jail sentence (specify jail) _____
10 Serving prison sentence (specify prison) _____
11 On probation (state)
12 On probation (local)
13 On parole (state)
14 On parole (local)
15 On work-release (state)
16 On work-release (local)
19 Other (specify) _____

5 NUMBER OF PRIOR RELEASES THROUGH PRETRIAL RELEASE PROJECT [ ] (20)

6 NUMBER OF PRIOR ASSIGNMENTS TO PRETRIAL SERVICES PROJECT [ ] (21)

7 ARREST ALLEGATION(S) (see offense list) [ ][ ][ ] (22 23 24) [ ][ ][ ] (25 26 27) [ ][ ][ ] (28 29 30)

8 AGE AT FIRST ARREST [ ][ ] (31 32)

9 NUMBER OF PRIOR ARRESTS 0 - 9 or more [ ] (33)

10 NUMBER OF JUVENILE COMMITMENTS 0 - 9 or more [ ] (34)

11 NUMBER OF PRIOR ADULT CONVICTIONS 0 - 9 or more [ ] (35)

12 NUMBER OF PRIOR ADULT PRISON SENTENCES 0 - 9 or more [ ] (36)

13 NUMBER OF PRIOR ADULT JAIL TERMS 0 - 9 or more [ ] (37)

14 NUMBER OF PRIOR PROBATION TERMS 0 - 9 or more [ ] (38)

15 AGE [ ][ ] (39 40)

16 SEX [ ] (41)
1 Male
2 Female

17 RACE [ ] (42)
1 Spanish-American
2 Negro-American
3 Anglo-American
4 American Indian
5 Asiatic-American
9 Other (specify) _____

18 NUMBER OF ALIASES (Identity Falsification Only) 0 - 9 or more [ ] (43)

19 MILITARY EXPERIENCE [ ] (44)
0 No
1 Yes, honorable discharge
2 Yes, dishonorable discharge
3 Yes, other type of discharge
4 Yes, type of discharge unknown
5 Yes, active

20 PRESENT MARITAL STATUS [ ] (45)
1 Single (never married)
2 Married
3 Separated
4 Divorced
5 Widowed
6 Common-Law Marriage
7 Homosexual Alliance
9 Uncodable or other (specify) _____

21 NUMBER OF LEGAL DEPENDENTS (excluding self) [ ] (46)

22 NUMBER OF LEGAL DEPENDENTS NOT SUPPORTED FINANCIALLY BY CLIENT (principal or regular support) [ ] (47)

23 LIVING ARRANGEMENTS [ ] (48)
1 Living alone
2 Living with spouse (and children)
3 Living with child(ren)
4 Living with parent(s)
5 Living with friend(s)
9 Other (specify) _____

24 COUNTY OF RESIDENCE _____ [ ][ ] (49 50)

25 COUNTY IN WHICH CRIME WAS COMMITTED _____ [ ][ ] (51 52)

26 ARE DRUGS OR ALCOHOL CONNECTED WITH THIS CASE? [ ] (53)
0 No connection
1 Yes, defendant had been using drugs or alcohol at time of offense
2 Yes, related criminal charge
3 Yes, offense committed to obtain money for drugs or alcohol
4 Yes, other (specify) _____
9 Not possible to determine

27 TYPE OF DRUG CONNECTED WITH CURRENT CASE [ ] (54)
0 Does not apply
1 Alcohol
2 Marijuana, hashish, etc.
3 Amphetamines, barbiturates, tranquilizers, etc.
4 Hallucinogens
5 Hard narcotics (heroin, morphine, cocaine, etc.)
9 Unknown or other (specify) _____

28a DOES DEFENDANT HAVE A HISTORY OF ILLEGAL OR EXCESSIVE DRUG OR ALCOHOL USE? [ ] (56)
1 No known history
2 Yes

28b TYPE(S) OF DRUG(S) [ ] (56)
0 Does not apply
1 Alcohol
2 Marijuana, hashish
3 Amphetamines, barbiturates, tranquilizers, etc.
4 Hallucinogens
5 Hard narcotics (heroin, morphine, cocaine, etc.)
9 Unknown or other (specify) _____

29 EMPLOYMENT STATUS [ ] (57)
0 Unemployed/laid off
1 Employed full-time
2 Employed part-time
3 Unemployable due to handicap
9 Uncodable or other (specify) _____

30 WEEKLY INCOME (in dollars) [ ][ ][ ] (58 59 60)

31 USUAL OCCUPATION LEVEL [ ] (61)
0 None
1 Unskilled
2 Semi-skilled
3 Skilled (Trades)
4 Clerical
5 Sales
6 Manager
7 Proprietor
8 Professional
9 Uncodable or other (specify) _____

32 PRIMARY INCOME SOURCE [ ] (62)
0 None
1 Own employment
2 Spouse's employment
3 Family
4 Compensation, benefit, or retirement
5 Inheritance or investments
6 Public assistance
7 Criminal activity
8 Other individual
9 Other (specify) _____

33 PUBLIC ASSISTANCE [ ] (63)
0 None
1 Self only
2 Dependents only
3 Self and dependents
4 Dependent upon recipient of public assistance

34 YEARS OF FORMAL SCHOOLING COMPLETED [ ][ ] (64 65)

35 STUDENT STATUS [ ] (66)
0 Not a student
1 Full-time student
2 Part-time student

36 DIPLOMAS AND DEGREES [ ] (67)
0 None
1 High School Equivalency (GED)
2 High School
3 Special Trade
4 Associate of Arts
5 BA/BS
6 MA/MS
7 PH.D/M.D./J.D.
8 Post-Doctoral
9 Other (specify) _____

[A][A] (79 80)

I. D. NUMBER (*Leave Blank*) [1 2 3 4 5 6]

37 STATUS AT TIME OF INTERVIEW [7]

1 Interviewed prior to arraignment
2 Released on own recognizance
3 Released on bond
4 Released to juvenile authorities
5 Detained at medical or psychiatric facility
(specify)_____
6 Detained in jail

38 INITIAL PRETRIAL INTERVIEW DATE
Month [8 9] Day [10 11] Year [12 13]

39 PROJECT INTERVIEWER [14 15 16]
(specify)_____

40 NUMBER OF PROJECT POINTS AFTER INTERVIEW [17 18]

41 NUMBER OF PROJECT POINTS AFTER VERIFICATION [19 20]
99 Not verified

42 RECOMMENDATION BY COURT SERVICES PROJECT [21]

1 Release to Pretrial Release Project
2 Release to Pretrial Services Project
3 Release not recommended - case referred for Pretrial Services Project consideration
4 No recommendation

43 REASON FOR NO RELEASE RECOMMENDATION FOR PRETRIAL RELEASE PROJECT [22]

0 Does not apply
1 Defendant does not qualify - not enough points
2 Defendant does not qualify - enough points but poor risk
3 Other charge pending
4 Defendant posted bond prior to recommendation
5 On hold for other agency
(specify)_____
6 Guilty plea at arraignment
9 Other
(specify)_____

44 PRETRIAL SERVICES PROJECT INTERVIEW DATE
Month [23 24] Day [25 26] Year [27 28]

45 PRETRIAL SERVICES PROJECT INTERVIEWER [29 30 31]
(specify)_____

46 REASON NOT INTERVIEWED BY PRETRIAL SERVICES PROJECT [32]

0 Does not apply - defendant interviewed
1 Decision based on initial interview
2 Released under volunteer supervision
3 Released to Pretrial Release Project
4 Released on bond prior to interview
5 Charged with traffic or misdemeanor offense
6 On hold for other agency
(specify)_____
7 Defendant a poor risk
(specify)_____
8 Refused to be interviewed
9 Other
(specify)_____

47 RECOMMENDATION FOR RELEASE TO PRETRIAL SERVICES PROJECT [33]

1 Release recommended
2 Release not recommended

48 REASON FOR NO RELEASE RECOMMENDATION FOR PRETRIAL SERVICES PROJECT [34]

0 Does not apply--release recommended
1 Evaluated as a poor risk
2 Released on bond prior to recommendation
3 Refused to participate
4 On hold for other agency
(specify)_____
5 Nature of offense
(specify)_____
9 Other (specify)_____

49 COURT ACTION ON PRETRIAL RELEASE RECOMMENDATION [35]

0 Does not apply--no recommendation
1 Released to pretrial Release Project
2 Released to Pretrial Services Project
3 Not released--Project recommendation not followed

50 IF INITIALLY REJECTED BY BOTH PROJECTS BUT LATER ACCEPTED, INDICATE DATE OF ACCEPTANCE
Month [36 37] Day [38 39] Year [40 41]

51 ASSIGNED PRETRIAL RELEASE PROJECT NUMBER
_____

52 ASSIGNED PRETRIAL SERVICES PROJECT NUMBER
_____

53 NAME OF COURT
(specify)_____

54 DATE OF RELEASE
Month [42 43] Day [44 45] Year [46 47]

55 PRESIDING JUDGE [48 49 50]
(specify)_____

56 AMOUNT OF BAIL SET BY COURT (in dollars) [51 52 53 54 55]

57 DISPOSITION [56]

1 Charge dropped or dismissed
2 Guilty plea at arraignment
3 Held over for preliminary hearing
4 Waived to Grand Jury
5 Waived to County Attorney
6 Prosecution deferred

58 PRETRIAL STATUS [57]

1 Released on own recognizance
2 Released under volunteer supervision
3 Released to Pretrial Release Project
4 Released to Pretrial Services Project
5 Released on bond
6 Released to Pretrial Services and bond
7 Not released--detained in jail
8 Not released--referred to other facility
(specify)_____ [79 80]

ROR Form 6

RELEASE EVALUATION

THE PRE-TRIAL RELEASE PROJECT OF
POLK COUNTY, IOWA
2nd Floor, Municipal Court Bldg.
PHONE: 284-6336

S.S. No._____

File_____

Date_____

Does_____recommend for Pre-Trial Release:

Day_____Night_____

_____Score_____

APPEARANCE_____

Charged with_____

Court_____

_____Bond $_____

Date_____

Based on the following verified information:

Time_____

A NA

RESIDENCE AND FAMILY _____POINTS

_____
Disposition

Address_____

Book & No._____

Lived there for_____

Legal Counsel_____

With_____

District Court #_____

Phone_____

Previous Address_____

RECORD OF CASE: OFFICE USE ONLY

Lived there for_____

Action_____Court_____

Date_____Time_____

DES MOINES RESIDENT FOR_____

A NA Disposition_____

_____

EMPLOYMENT _____POINTS

Employed by_____

Action_____Court_____

_____

Date_____Time_____

As a_____for_____

A NA Disposition_____

Previously Employed by_____

_____

_____

Action_____Court_____

As a _____for_____

Date_____Time_____

VERIFICATION

A NA Disposition_____

_____

Name_____

Address_____

Action_____Court_____

Relationship_____Phone_____

Date_____Time_____

PREVIOUS CRIMINAL RECORD _____POINTS

A NA Disposition_____

_____

_____

_____

Action_____Court_____

Date_____Time_____

_____

A NA Disposition_____

_____

_____

_____
Investigator

Pre-Trial Release Order

IN THE DISTRICT COURT, POLK COUNTY, IOWA

STATE OF IOWA, CITY OF DES MOINES, vs. _____ _____ Defendant	)	PRE-TRIAL RELEASE Bail Bond - Recognizance

The defendant is accused of the crime of _____ _____ and the (hearing) (trial) has been adjourned until the ____ day of _____, 19___, at _____o'clock __.m., and the said defendant has been admitted to bail in the sum of _____ Dollars, without surety.

I, the undersigned defendant herein, understand that in the event I fail to observe any of the conditions of this release, or if I fail to appear in Court when required, I will be subject to punishment by imprisonment in the penitentiary at hard labor for not more than five years or by a fine not exceeding $5,000.00 in the event the offense charged be a felony.

If the offense be a misdemeanor, by imprisonment in the county jail not more than one year or by a fine not exceeding $1,000.00.

I further understand that if I violate any of the conditions of my release from custody, a warrant for my arrest will be issued immediately.

I further understand that if I fail to appear as stated above, a civil judgment will be rendered against me for the total amount of said bond.

I further agree to the following terms as conditions for being released from custody on my own recognizance without bond, or released on bond without surety, during the pendency of this case:

1. I will not leave the State of Iowa without written consent of the Court.
2. I will keep my attorney informed of my whereabouts at all times.
3. I will personally appear in this case in all Courts and proceedings, including Municipal and District Courts, at which my personal appearance is required by law or ordered by the Court. Notice to my attorney of record or Pre-Trial Release by such Court or County Attorney, of the time and place for all such appearances, shall constitute notice to me as though served on me personally.

4. I will immediately notify Pre-Trial Release of any address change.

_____

_____

I further understand that if I fail to observe any of the above terms, I will be subject to punishment, as provided by law, even though prosecution of this case may be dismissed or I may be found not guilty of the offense charged against me.

I understand the terms of this agreement and voluntarily enter into it.

_____
Defendant

_____
Witness

_____
Pre-Trial Investigator

I, attorney for the above-signed defendant herein, hereby express my approval of the defendant entering into this agreement.

_____
Attorney for Defendant

ORDER

Now on this _____ day of _____, 19___, the Court having fully advised the defendant of the consequences of his failure to appear as stated above, the defendant having been specifically ordered to personally appear in all Courts and proceedings, including Municipal and District Courts, at which his personal appearance is required by law or ordered by the Court:

IT IS THEREFORE THE ORDER of this Court that the defendant, _____ _____, be and is hereby released from custody (on his own recognizance without bond) (upon filing with the Clerk of this Court his personal appearance without surety in the amount of $_____.)

IT IS FURTHER ORDERED that such release from custody be and is hereby subject to the terms of the foregoing agreement.

Dated this _____ day of _____, 19___.

_____

Judge

ROR Form 8

ORDER OF DISCHARGE

IN THE IOWA DISTRICT COURT

_____ COUNTY

STATE OF IOWA

CITY OF _____

_____

_____

Defendant

To the Sheriff of The County of _____

To the Chief of Police, _____ Iowa

_____ who is detained by you

on commitment to answer a charge for the offense of _____

_____

_____

_____

_____

having given sufficient bail to answer the same, you are commanded forthwith, to discharge him from custody. Defendant to appear on the _____ day of _____ A. D., 19_____

Dated at _____ County, Iowa, this _____

day of _____ A. D., 19_____

_____

Clerk of the District Court

Form C.S. 388 Approved 1970 ——— ———, ——— ———

_____

Deputy

OFFENSES SUBJECT TO NIGHTTIME PROGRAM RELEASE

INDICTABLE MISDEMEANOR CHARGES

Indecent exposure

Interfering with due process

Resisting execution of due process

Possession of controlled substance

Growing controlled substance

Possession of prescription drugs

Operating a motor vehicle under the influence (1st & 2nd offense)

Operating a motor vehicle with license under suspension (State charge)

Operating motorized boat under the influence

Hit and run (Personal injury accident)

Unlawful use of telephone

Failure to return leased vehicle

Bootlegging

Larceny at nighttime under $20

MISDEMEANOR CHARGES

Assault and battery (A & B)

Larceny under $20

Shoplifting under $20 (S/L U/$20)

Uttering and drawing under $20

Tampering with motor vehicle

Malicious Mischief to building (State-Felony)

Malicious mischief to city property

Defacing a building

Disturbing peace and quiet

Carrying concealed weapon

Pointing a gun

Discharging firearms in city

Disorderly house

Resisting arrest

False police report

Criminal trespass

Impersonating a police officer

Defrauding an innkeeper

Contributing to delinquency of minor

Possession of beer

Possession of wine

Illegal entry to tavern

Consuming beer on public street

Consuming beer on public highway

Loafing, loitering and annoying

Illegal explosion of fireworks

Unauthorized swimming

Violation of city sound ordinance

Allowing dog to run at large

Cruelty to animals

Receiving and concealing under $20

A-16

ROR Form 10

Reminder of Appearance Date

Fifth Judicial District Department of Court Services

DES MOINES AREA OFFICES

Pre-Trial Release
Municipal Court Building
Des Moines, Iowa 50309
515-284-6336

Release With Service
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Pre-Sentence Investigation
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Probation Unit
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Men's Residential Facility
Bldg. 65, Ft. Des Moines
Des Moines, Iowa 50315
515-285-0676

Women's Residential Facility
3118 Cottage Grove
Des Moines, Iowa 50311
515-274-9371

CRESTON AREA OFFICE
111 W. Montgomery Street
Creston, Iowa 50801
515-782-8880

CHARITON AREA OFFICE
Chariton City Hall
Chariton, Iowa 50049
515-774-8112

NEWTON AREA OFFICE
1900 S. 7th Ave. E.
Newton, Iowa 50208
515-792-9130

SA AREA OFFICE
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Administrative Office, 1000 College Ave., Des Moines, Iowa 50314 515-244-3202

Dear

This letter is to remind you that you have a court appearance in the near future. The place, date and time of appearance is indicated below.

If you are to appear in the Criminal Division of Municipal Court, go to the second floor of the Municipal Court Building, East First and Court Avenue.

If you are to appear in the Traffic Division, go to the basement of the Municipal Court Building -- Court Avenue entrance.

It is very important to be in court at the proper time. Failure to appear will result in a warrant for your arrest.

To keep our records current, it is necessary that we know you have appeared. For this reason it will be necessary for you to stop in our office on the date of your appearance. If you have already appeared and your case has been disposed of, please call us between the hours of 9:00 A.M. and 4:00 P.M., so we can make the appropriate notation on our records.

Thank you for cooperating. If you have any questions, feel free to call us at 284-6336.

Sincerely,

Pre-Trial Release Supervisor

Court of Appearance _____

Date of Appearance _____

Time of Appearance _____

IN THE DISTRICT COURT OF THE STATE OF IOWA

IN AND FOR POLK COUNTY

* * * \

ROR Form 12

IN THE MUNICIPAL COURT OF THE CITY OF DES MOINES,
POLK COUNTY, IOWA

* * * * * * * * * * *

STATE OF IOWA, CITY OF DES MOINES, Plaintiff, vs. _____, Defendant.	APPLICATION FOR REVOCATION OF PRE-TRIAL RELEASE BOND

* * * * * * * * * * *

I, the undersigned do hereby state that the above-named defendant has violated the provisions of his (her) pre-trial release bond and (or) has been rearrested while out on a pre-trial release bond. I do hereby request that the above-named defendant's pre-trial release bond be revoked immediately.

_____
Pre-Trial Investigator

_____
Date

O R D E R

Now on this _____ day of _____, 197__, the Court having been fully advised on the facts surrounding this application for revocation, does hereby order that said pre-trial release bond be and is hereby revoked.

_____
Judge

LIST OF FORMS

SUPERVISED RELEASE

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SUPERVISED RELEASE BOND ORDER

IN THE DISTRICT COURT OF THE STATE OF IOWA
IN AND FOR THE FIFTH JUDICIAL DISTRICT

* *

STATE OF IOWA,	)	CRIMINAL NO. _____
	)	
Plaintiff	)	AGREEMENT AND ORDER
	)	
vs.	)	CHARGE _____
	)	
Defendant	)	BOND _____
	)	

* *

I, _____, the defendant, agree to the following terms for being released from custody on my own recognizance without bond, or released on bond without surety, during the pendency of this case, to the Fifth Judicial District Department of Court Services.

1. I will not leave the State of Iowa without written concent of the Court.
2. I will keep my attorney informed of my whereabouts at all times.
3. I will faithfully and honestly, to the best of my ability, follow and carry out the programs and placement and/or treatment plans developed with me by the Fifth Judicial District Department of Court Services.
4. I will personally appear in Court in this case in all proceedings at which my personal appearance is required by law, or ordered by the Court. Notice to my attorney or to the Fifth Judicial District Department of Court Services by the Court or County Attorney of the time and place for all such Court appearances shall constitute notice to me.
5. SPECIAL CONDITIONS

   I understand that if I fail to observe any of the above terms, I will be subject to punishment for contempt of Court under the provisions of Chapter 665 of the Iowa Code, and I understand that punishment for such contempt shall be by a fine not exceeding $500.00 or by imprisonment in the County Jail not exceeding six months, or both.

   I further understand that any willful failure on my part to appear in Court as required by law or by the Court shall result in forfeiture of any bond or security given for my release and also amounts to a crime which may result in punishment by fine or imprisonment, or both, as set out in Chapter 420, Acts of 62, General Assembly (up to a maximum of five (5) years imprisonment or fine not exceeding $5,000.00.

I further understand that if I fail to observe any of the above terms, I will be subject to punishment even though prosecution of this case may be dismissed or I may be found not guilty of the offense charged against me in this case.

I understand the terms of this agreement and voluntarily enter into it.

_____
Defendant

_____
Interviewer

I, attorney for the above signed defendant herein, hereby express my approval of the defendant entering into this agreement.

_____
Attorney for Defendant

COURT ORDER

The foregoing agreement, having been signed by defendant and his attorney in the presence of the Court, is hereby approved by the Court. Defendant is specifically ordered to personally appear in Court for all proceedings in this case at which his personal appearance is required by law, or ordered by the Court. It is ordered that the defendant be released from custody (on his own recognizance without bond) (upon filing with the Clerk of this Court his personal appearance bond without surety in the amount of $_____ _____) to the Fifth Judicial District Department of Court Services.

IT IS FURTHER ORDERED that such release from custody is subject to the terms of the foregoing agreement.

Dated this _____ day of _____, 19___.

_____
Judge

INTAKE SUMMARY SHEET

NAME _____ FILE NO. _____

SOCIAL SECURITY NUMBER _____

PRESENT ADDRESS _____

DATE: _____ _____

_____ _____

_____ _____

_____ _____

PRESENT TELEPHONE NUMBER _____

DATE: _____ _____

_____ _____

_____ _____

_____ _____

FINAL DISPOSITION: DATE: _____

INCOMING CLIENT SHEET

Name	Case No.	Date In	Offense			Sex - Race						Ages				Marital Status				Education				Disposition			Date Out
						Male			Female			under															
			M	IM	F	B	W	O	B	W	O	21	26	36	O	S	M	D	O	D-O	GED	HS	HE	A	F/A	O	

INCOMING CLIENT SHEET

ate	Offense			Sex - Race						Ages				Marital Status				Education				Disposition			Date Out	Total Time
				Male			Female			under																
	M	IM	F	B	W	O	B	W	O	21	26	36	O	S	M	D	O	D-O	GED	HS	HE	A	F/A	O		

SR Form 3

JUSTICE RESEARCH

EVALUATION CODESHEET
PRE-TRIAL SERVICES AND COURT OUTCOME DATA

NAME _____ (Last / First / Middle)

I.D. NUMBER (Assigned By Evaluation Unit) [ ][ ][ ][ ][ ][ ] (1 2 3 4 5 6)

DATE CODED: Month [ ][ ] Day [ ][ ] Year [ ][ ]

CODED BY: _____

1 COURT DOCKET NUMBER [ ][ ][ ][ ][ ][ ][ ] (13 14 15 16 17 18 19)

2 SOCIAL SECURITY NUMBER [ ][ ][ ] [ ][ ] [ ][ ][ ][ ]

3 DATE OF BIRTH Month [ ][ ] Day [ ][ ] Year [ ][ ] (20 21 22 23 24)

4 DATE OF ARREST Month [ ][ ] Day [ ][ ] Year [ ][ ] (25 26 27 28 29)

5 ARREST ALLEGATION [ ][ ][ ] (30 31 32)

6 PRE-TRIAL RELEASE STATUS [ ] (33)

1 Released on recognizance (or own bond)
2 Released to volunteer supervision
3 Released to Pre-trial Release Project
4 Released to Pre-trial Services Project
5 Released on bail
6 Not released - detained in jail
7 Not released - referred to other facility (specify) _____
9 Uncodable or other (specify) _____

7 PROGRAM ASSIGNED TO (specify) _____ [ ][ ][ ] (34 35 36)

8 TYPES OF ACTIVITIES OR ORGANIZATIONAL INVOLVEMENT WHILE A PROGRAM CLIENT [ ] [ ] [ ] [ ] (37 38 39 40)

1 Social
2 Athletic
3 Musical
4 Religious
5 Political
6 Professional
7 Self-improvement
8 Service
9 Uncodable or other (specify) _____

9 NUMBER OF SCHEDULED COUNSELOR-CLIENT CONTACTS WHICH CLIENT FAILED TO KEEP [ ][ ] (41 42)

10 NUMBER OF SCHEDULED OUTSIDE SERVICE CONTACTS WHICH CLIENT FAILED TO KEEP [ ][ ] (43 44)

11 NUMBER OF NEW OUTSIDE JOBS OBTAINED WHILE A CLIENT OF PROGRAM [ ] (45)

12 NUMBER OF NEW OUTSIDE JOBS OBTAINED THROUGH CLIENT'S OWN EFFORTS [ ] (46)

13 NUMBER OF NEW JOB ASSIGNMENTS WITHIN THE PROGRAM [ ] (47)

14 AMOUNT OF TIME ON LONGEST-HELD JOB WHILE A CLIENT OF PROGRAM (number of weeks) [ ][ ][ ] (48 49 50)

15 TOTAL TAXABLE INCOME WHILE A PROGRAM CLIENT [ ][ ][ ][ ] (51 52 53 54)

16 NUMBER OF INFRACTIONS OF RULES FOR WHICH THE CLIENT WAS DISCIPLINED [ ] (55)

17 NUMBER OF TIMES PLACED IN JAIL [ ] (56)

18 NUMBER OF DAYS SPENT IN JAIL [ ][ ][ ] (57 58 59)

19 HAVE THERE BEEN KNOWN INSTANCES OF ILLEGAL DRUG USE DURING PERIOD OF ASSIGNMENT? [ ] (60)

0 No
1 Yes

20 HAVE THERE BEEN KNOWN INSTANCES OF EXCESSIVE ALCOHOL USE DURING PERIOD OF ASSIGNMENT? [ ] (61)

0 No
1 Yes

21 DIPLOMAS AND DEGREES OBTAINED WHILE A CLIENT OF THIS PROGRAM [ ] (62)

0 None
1 High School Equivalency (GED)
2 High School
3 Special Trade
4 Associate
5 Bachelor
6 Master
9 Uncodable or other (specify) _____

(Leave Blank) [ ][ ][ ][ ][ ][ ] (75 76 77 78 79 80)

[ ][ ][ ][ ][ ][ ][ ][ ][ ] (1 2 3 4 5 6 7 8 9)

22 DATE OF FIRST NEW OFFENSE ALLEGATION(S) Month [ ][ ] Day [ ][ ] Year [ ][ ] (10 11 12 13 14)

23 NEW OFFENSES ALLEGED DURING ASSIGNMENT TO PROGRAM (use offense list) [ ][ ][ ] [ ][ ][ ] [ ][ ][ ] (15 16 17 18 19 20 21 22 23)

24 SERVICES PROVIDED TO CLIENT

KEY:

00 None
01 Employment
02 Education
03 Vocational
04 Transportation
05 Lodging
06 Financial
07 Family
08 Psychological
Psychiatric
09 Drugs
10 Alcohol
11 Medical
12 Legal
13 Religious
19 Other

Type of Service	(Specify Service and by Whom Provided)	
[ ][ ] (24 25)	_____	
[ ][ ] (28 29)	_____	
[ ][ ] (32 33)	_____	
[ ][ ] (36 37)	_____	
[ ][ ] (40 41)	_____	
[ ][ ] (44 45)	_____	

25 PROGRAM OUTCOME

1 Participated in total program
2 Participated in program, but refused some services
3 Returned to jail by project recommendation
4 Returned to jail due to new offense arrest
5 Returned to jail due to absconding
6 Returned to jail due to technicality (specify) _____
7 Absconded
9 Uncodable or other (specify) _____

26 DATE OF TERMINATION IN PROGRAM Month [ ][ ] (53 54)

(Leave Blank) [ ][ ][ ][ ][ ][ ] (75 76 77 78 79 80)

EVALUATION CODESHEET
PRE-TRIAL SERVICES AND COURT OUTCOME DATA

FORM 20074

PTPSC _____ Alpha

Month | Day | Year

I.D. NUMBER (Assigned By Evaluation Unit) 1 2 3 4 5 6 7 8 9

CODED BY: _____ 10 11 12

SR Form 4, page 1 of 2

15 16 17 18 19

Day | Year
21 22 23 24

Day | Year
26 27 28 29

30 31 32

33

34 35 36

37 38

39 40

41 42

43 44

45

46

47

14 AMOUNT OF TIME ON LONGEST-HELD JOB WHILE A CLIENT OF PROGRAM (number of weeks) 48 49 50

15 TOTAL TAXABLE INCOME WHILE A PROGRAM CLIENT 51 52 53 54

16 NUMBER OF INFRACTIONS OF RULES FOR WHICH THE CLIENT WAS DISCIPLINED 55

17 NUMBER OF TIMES PLACED IN JAIL 56

18 NUMBER OF DAYS SPENT IN JAIL 57 58 59

19 HAVE THERE BEEN KNOWN INSTANCES OF ILLEGAL DRUG USE DURING PERIOD OF ASSIGNMENT? 60

0 No
1 Yes

20 HAVE THERE BEEN KNOWN INSTANCES OF EXCESSIVE ALCOHOL USE DURING PERIOD OF ASSIGNMENT? 61

0 No
1 Yes

21 DIPLOMAS AND DEGREES OBTAINED WHILE A CLIENT OF THIS PROGRAM 62

0 None
1 High School Equivalency (GED)
2 High School
3 Special Trade
4 Associate
5 Bachelor
6 Master
9 Uncodable or other (specify)_____

(Leave Blank)
75 76 77 78 79 80
1 2 3 4 5 6 7 8 9

22 DATE OF FIRST NEW OFFENSE ALLEGATION(S) Month 10 | Day 11 12 | Year 13 14

23 NEW OFFENSES ALLEGED DURING ASSIGNMENT TO PROGRAM (use offense list)
15 16 17 | 18 19 20 | 21 22 23

24 SERVICES PROVIDED TO CLIENT

KEY:

00	None	08	Psychological/ Psychiatric
01	Employment	09	Drugs
02	Education	10	Alcohol
03	Vocational	11	Medical
04	Transportation	12	Legal
05	Lodging	13	Religious
06	Financial	19	Other
07	Family		

Type of Service (Specify Service and by Whom Provided)		Number of Services	Number Provided By Outside Resources
24 25	_____	26	27
28 29	_____	30	31
32 33	_____	34	35
36 37	_____	38	39
40 41	_____	42	43
44 45	_____	46	47

25 PROGRAM OUTCOME 52

1 Participated in total program
2 Participated in program, but refused some services
3 Returned to jail by project recommendation
4 Returned to jail due to new offense arrest
5 Returned to jail due to absconding
6 Returned to jail due to technicality (specify)_____
7 Absconder
9 Uncodable or other (specify)_____

26 DATE OF TERMINATION IN PROGRAM Month 53 | Day 54 55 | Year 56 57

(Leave Blank)
75 76 77 78 79 80

A-23

131

A-24

COURT OUTCOME

(Leave Blank)

1 2 3 4 5 6 7 8 9

27 DID THIS DEFENDANT FAIL TO APPEAR FOR ANY SCHEDULED COURT DATE? [10]

0 No
1 Lower court arraignment
2 Preliminary hearing
3 Trial - Misdemeanor
4 Traffic court
5 District court arraignment
6 Trial - Indictable offense
7 Sentencing
8 Uncodable or other (specify)_____

28 DATE OF FAILURE TO APPEAR Month [11] Day [12 13] Year [14 15]

29 DID THE DEFENDANT RECEIVE ANY COMPANION CHARGES? [16]

0 No
1 Failure to appear
2 Habitual criminal
3 Contempt of court

30 DEFENDANT REPRESENTATION AT TIME OF FINAL ADJUDICATION [17]

1 Self
2 Privately-retained (specify)_____
3 Court-appointed counsel (specify)_____
4 Public defender/offender advocate
5 Private organization (specify)_____
8 Uncodable or other (specify)_____

31 DATE OF FINAL COURT ADJUDICATION Month [18] Day [19 20] Year [21 22]

32 WHERE DID FINAL ADJUDICATION OCCUR? [23]

1 Traffic court
2 Lower court
3 District court
9 Other (specify)_____

33 LAST STEP IN FORMAL COURT PROCESS BEFORE FINAL ADJUDICATION [24]

1 Lower court arraignment
2 Preliminary hearing
3 Grand Jury indictment
4 County attorney information
5 District court arraignment
6 Trial
8 Other (specify)_____

34 CONVICTING OFFENSE [25 26 27]

35 HOW ADJUDICATED [28]

1 Guilty plea
2 Judge's finding
3 Jury verdict
4 Dismissed
5 Ignored
6 Bond forfeiture
7 No contest
8 Uncodable or other

36 WAS THE DEFENDANT CONVICTED ON COMPANION CHARGES? [29]

0 No
1 Failure to appear
2 Habitual criminal
3 Contempt of court

37 RELEASE STATUS OF CLIENT BETWEEN ADJUDICATION AND SENTENCING [30]

0 Sentenced at time of adjudication
1 Released on recognizance (or own bond)
2 Released to volunteer supervision
3 Released to Pre-Trial Release Project
4 Released to Pre-Trial Services Project
5 Released on bail
6 Not released - detained in jail
7 Not released - returned to other facility (specify)_____
8 Uncodable or other (specify)_____

38 PRE-SENTENCE INVESTIGATION PREPARED BY [31 32 33]

(specify)_____

SENTENCING INFORMATION

SR Form 4, page 2 of 2

39 DATE OF SENTENCE Month [31] Day [32 33] Year [34 35]

40 INCARCERATION

a. Jail (number of days) [36 37 38]

b. Correctional Program

Program (specify)_____ [39 40 41]

Number of Months

001 - 998 Months
000 - Life
999 - Indefinite [42 43 44]

c. Other Program or Institution

Program (specify)_____ [45 46 47]

Number of Months

001 - 998 Months
000 - Life
999 - Indefinite [48 49 50]

41 CREDIT FOR TIME SERVED PRIOR TO SENTENCING (actual number of days) [51 52 53]

42 SENTENCE SUSPENDED? [54]

0 No
1 Yes

43 SENTENCE DEFERRED? [55]

0 No
1 Yes

44 PROBATION

001 - 998 Months
999 - Indefinite [56 57 58]

45 CONDITION [59]

0 No condition specified
1 Drug treatment
2 Alcohol treatment
3 Psychological treatment
4 Medical treatment
5 Correctional program
9 Other (specify)_____

Program Code (specify)_____ [60 61 62]

46 LENGTH OF TREATMENT PERIOD SPECIFIED AS CONDITION (number of months)

001 - 998 Months
999 - Indefinite [63 64 65]

47 AMOUNT OF FINE (in dollars) [66 67 68 69]

48 AMOUNT OF RESTITUTION (in dollars) [70 71 72 73]

49 WAS A CHOICE OF SENTENCES OFFERED TO DEFENDANT? [74]

0 No
1 Yes

50 SENTENCING JUDGE (specify)_____ [75 76 77]

[78 79 80]

SR Form 5

A-25

Fifth Judicial District Department of Court Services

DES MOINES AREA OFFICES

Pre-Trial Release
Municipal Court Building
Des Moines, Iowa 50309
515-284-6336

Release With Service
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Pre-Sentence Investigation
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Probation Unit
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Men's Residential Facility
Bldg. 65, Ft. Des Moines
Des Moines, Iowa 50315
515-285-0676

Women's Residential Facility
3118 Cottage Grove
Des Moines, Iowa 50311
515-274-9371

CRESTON AREA OFFICE
111 W. Montgomery Street
Creston, Iowa 50801
515-782-8880

CHARITON AREA OFFICE
Chariton City Hall
Chariton, Iowa 50049
515-774-8112

NEWTON AREA OFFICE
1900 S. 7th Ave. E.
Newton, Iowa 50208
515-792-9130

SA AREA OFFICE
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Administrative Office, 1000 College Ave., Des Moines, Iowa 50314 515-244-3202

RELEASE OF INFORMATION

Name_____

Date of Birth_____

Record_____

I, the undersigned, hereby grant permission to disclose and deliver to the _____ Division of the Department of Court Services, any and all information contained in my record. Such information disclosed or delivered may include my complete case history as shown by my records, and any other information relating to my adjustment, treatment, and/or condition.

Signed_____

Date_____

Witness_____

Title_____

Administered through Polk County Board of Supervisors

A-26 SR Form 6

Supervised Release Client Contract

FIFTH JUDICIAL DISTRICT DEPARTMENT OF COURT SERVICES
COMMUNITY CORRECTION DIVISION
1546 6th Avenue
Des Moines, Iowa

I, _____, having read the order of the Court of this date releasing me from custody to the Community Correction Center, hereby agree to the following conditions of release established by the Community Correction Center.

1. I will appear in Court when required or be subject to bond forfeiture, imprisonment in the penitentiary for a term of not more than five years, or fine not to exceed $5,000.00.
2. I will not violate any laws of the State of Iowa, or any ordinance of any City of said State.
3. I will not violate the laws of any State or the United States.
4. I will make a report in person to the Community Correction Center at least three times weekly or as often as the latter may require.
5. I will maintain suitable residence and employment throughout the period of the time under the Project's supervision and shall not change either residence or employment without prior approval from the supervising authority.
6. I will appear for any meetings that the Project feels are to my benefit, and also agree to testing at the Project and interviewing.
7. I will not leave the territorial limits of _____ without written consent of the supervising authority.
8. I will abstain from the excessive use of intoxicants, or any use of drugs unless prescribed for me by my Doctor and I agree to submit to toxicology testing upon the request of my Counsellor.
9. I will not engage in any anti-social conduct which would furnish good cause to the Court to believe that the release order should be revoked in the public interest.
10. I will actively cooperate and participate in any program established for me by the Community Correction Center.

SPECIAL CONDITIONS: _____

_____

_____

I have carefully read and do clearly understand the provisions of my release and do hereby agree to abide by and accept the said terms and conditions. I further understand that any violation of the above conditions is a violation of my release which could cause my release to be revoked by the Court and could result in the issuance of a warrant for my arrest.

Dated this _____ day of _____, 19___.

_____ _____
Witness Client

SAMPLE CLIENT TREATMENT PLAN

This client is a 30 year old female with a long history of narcotic use, as well as Uttering a Forged Instrument and Prostitution charges. She was already enrolled in a narcotic treatment program at the time that Court Services took her out of jail on our bond, but the methadone treatment program and therapy offered there did not seem adequate as she continued to get "dirty urinalysis."

During the time this client was out on our bond, she presented several problems both to herself and the program. Her main problems were:

1. Psychological dependency on drugs.
2. An extremely disorganized approach to life, which lead to:
3. A poor work history
4. Lack of training
5. This client also expressed a concern over having no real friends and,
6. Nothing constructive to do with her time.

This client and counselor sat down and discussed these problems. At that time, client was informed that she could not continue the illegal use of drugs if she intended to remain out of jail on our bond. We discussed this and settled on six weeks as a fair amount of time for her to show some improvement.

1. Client has been referred to Polk County Mental Health. Hopefully, this will help her find some direction in her life and get her stabilized to the point where she doesn't need drugs.
2. We have discussed client enrolling for classes at Des Moines Area Community College Urban Center. This might accomplish several things:
   A. Further her education
   B. Give her something constructive to do with her time
   C. Help her to meet new people and hopefully make friends
3. Probation has recently started a problem solving group which sounds ideal for client. This group is in an experimental stage, but if it can be expanded, client will attend.
4. Set up an appointment with the Vocational Rehabilitation Counselor.
   A. Talk about job seeking skills and work readiness evaluation. (Vocational Rehabilitation Evaluation Center.)
   B. Classes at Des Moines Area Community College Urban Center.

5. Client feels that most of her problems will be solved by:

   A. Employment with a decent salary

   B. Returning to the Church

6. Either Vocational Rehabilitation Counselor or I will try to work out transportation and babysitting problems through:

   A. Vocational Rehabilitation

   B. Or through Polk County Social Services.

Client has been given until June 1st (approximately six weeks) to get herself organized and start showing progress. In that time, it is expected that she will be:

1. Working and/or

2. Enrolled in educational or training program

3. Showing only clean U. A.'s

At the present time, this client has had two "clean" urinalyses, which is encouraging. She is also enrolled in the Iowa State Vocational Rehabilitation Centers Job Seeking Skills program. Her evaluator states that she is making slow gains in attendance and punctuality and her program will be expanded to cover business and office skills.

DATE:
CLIENTS ATTENDANCE RECORD FOR MEETINGS AT PROJECT

Time	Client's Name

CLIENT CONTACT SHEET

NAME _____

DATE _____

NOTES _____

AGENT _____

FIFTH JUDICIAL DISTRICT DEPARTMENT OF COURT SERVICES

CHRONOLOGICAL RECORD SHEET

CONTACT SYMBOLS

C.F.------Client Field
C.F.C.----Client Field Collateral
C.H.------Client Home
C.H.C.----Client Home Collateral
C.O.------Client Office
C.O.C.----Client Office Collateral
C.T.------Client Telephone
C.T.C.----Client Telephone Collateral

Date	Contact	Staff Initial	Summary of Contacts

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SR Form 11

Fifth Judicial District
Department of Court Services

DES MOINES AREA OFFICES

Pre-Trial Release
Municipal Court Building
Des Moines, Iowa 50309
515-284-6336

Release With Service
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Pre-Sentence Investigation
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Probation Unit
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Men's Residential Facility
Bldg. 65, Ft. Des Moines
Des Moines, Iowa 50315
515-285-0676

Women's Residential Facility
3118 Cottage Grove
Des Moines, Iowa 50311
515-274-9371

CRESTON AREA OFFICE
111 W. Montgomery Street
Creston, Iowa 50801
515-782-8880

CHARITON AREA OFFICE
Chariton City Hall
Chariton, Iowa 50049
515-774-8112

NEWTON AREA OFFICE
1900 S. 7th Ave. E.
Newton, Iowa 50208
515-792-9130

5A AREA OFFICE
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Administrative Office, 1000 College Ave., Des Moines, Iowa 50314 515-244-3202

TRAVEL PERMISSION

DATE_____

CASE/
CRIMINAL NO.:_____

NAME_____

HOME ADDRESS_____

_____

NAME & ADDRESS OF DESTINATION:_____

_____

LEAVING_____ RETURNING_____

PURPOSE OF TRIP_____

_____

METHOD OF TRAVEL_____

ACCOMPANIED BY_____

APPROVED:

FIFTH JUDICIAL DISTRICT
DEPARTMENT OF COURT SERVICES

_____
Division

By:_____
Title

Administered through Polk County Board of Supervisors

SR Form 12

A-33

APPOINTMENT REMINDER

Fifth Judicial District
Department of Court Services

DES MOINES AREA OFFICES

Pre-Trial Release
Municipal Court Building
Des Moines, Iowa 50309
515-284-6336

Release With Service
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Pre-Sentence Investigation
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Probation Unit
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Men's Residential Facility
Bldg. 65, Ft. Des Moines
Des Moines, Iowa 50315
515-285-0676

Women's
Residential Facility
3118 Cottage Grove
Des Moines, Iowa 50311
515-274-9371

CRESTON AREA OFFICE
111 W. Montgomery Street
Creston, Iowa 50801
515-782-6880

CHARITON AREA OFFICE
Chariton City Hall
Chariton, Iowa 50049
515-774-6112

NEWTON AREA OFFICE
1900 S. 7th Ave. E.
Newton, Iowa 50208
515-792-9130

SA AREA OFFICE
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Administrative Office, 1000 College Ave., Des Moines, Iowa 50314 515-244-3202

Dear

This is just a short note to remind you of your appointment with Dr. Hege at _____ on _____, _____, 1974 at the Community Corrections Office at 1546 - 6th Avenue. We expect you to be on time.

Counselor,

A-34 SR Form 13

JOB REFERRAL

AGE NAME ADDRESS PHONE

REFERRED BY _____ DIVISION _____ DATE _____

* * *

NAME OF LAST JOB _____ DATE LEFT _____

REASON FOR LEAVING _____

TYPE OF JOB EXPERIENCE _____

_____

ADDITIONAL INFORMATION _____

DATE	1/2	DATE	1/2	DATE	1/2	CONTACTS*	DATE	1/2	DATE	1/2	DATE	1/2

* 1 - client contacted Job Developer / 2 - Job Developer contacted client

PLACES REFERRED	COMPLIED yes	COMPLIED no	PLACES REFERRED	COMPLIED yes	COMPLIED no
1)			6)		
2)			7)		
3)			8)		
4)			9)		
5)			10)		

(use back if necessary)

NAME OF PLACE HIRED DATE JOB TITLE SALARY

JOB DEVELOPER'S COMMENTS _____

_____

_____

If pre-sentence, return to counselor by _____

Iowa State Employment Service
Application Form

EMPLOYMENT RECORD
BEGIN WITH MOST RECENT JOB AND LIST LONGEST OR MOST IMPORTANT JOBS HELD

EMPLOYER OR BRANCH OF MILITARY SERVICE | JOB TITLE | DESCRIBE JOB DUTIES, INCLUDE TOOLS OR MACHINES USED

ADDRESS

DATE STARTED | DATE LEFT | RATE OF PAY | PER | HRS/WK

REASON FOR LEAVING

EMPLOYER OR BRANCH OF MILITARY SERVICE | JOB TITLE | DESCRIBE JOB DUTIES, INCLUDE TOOLS OR MACHINES USED

ADDRESS

DATE STARTED | DATE LEFT | RATE OF PAY | PER | HRS/WK

REASON FOR LEAVING

EMPLOYER OR BRANCH OF MILITARY SERVICE | JOB TITLE | DESCRIBE JOB DUTIES, INCLUDE TOOLS OR MACHINES USED

ADDRESS

DATE STARTED | DATE LEFT | RATE OF PAY | PER | HRS/WK

REASON FOR LEAVING

INTERVIEWERS SUMMARY OF OTHER WORK OR EXPERIENCE | SKILLS, KNOWLEDGE, ABILITIES

DO NOT WRITE IN SHADED AREAS

1 2 3 4 5 6 7 ED R DV MOB VPS S CA O A B C D E F

1. SOCIAL SECURITY NO. (1-9)
2. APPLICANT TYPE (10) 1 ☐ Registered 2 ☐ P. Registered 3 ☐ Renewal A
3. SUMMER YOUTH (11) 1 ☐ Yes 2 ☐ No
YC (12) 2 CC (13-14) 50
4. NAME (PRINT LAST, FIRST, MIDDLE INITIAL) (15-28)
5. ADDRESS
6. TELEPHONE NO.
7. CITY, STATE, ZIP CODE
COUNTY
8. DATE OF BIRTH (29-30 Month, 31-32 Day, Year) 9. SEX (33) 1 ☐ M 2 ☐ F
10. CIRCLE HIGHEST GRADE OF SCHOOL COMPLETED (34-35)
Grade School 1 2 3 4 5 6 7 8 | High School 9 10 11 12 | College 13 14 15 16 | BA 17 | BA 18 | PhD. 19
11. MARITAL STATUS (36) Never Married 1 ☐ Married 4 ☐ Divorced 2 ☐ Separated 3 ☐ Widowed
12. NUMBER IN FAMILY INCLUDING YOURSELF (37)
13. FAMILY INCOME (in last 12 months) $ _____ (Optional-you need not answer) (38-41)
14A. HEIGHT (42) feet inches 14B. WEIGHT (43-45) Pounds
15. IF NEEDED FOR WORK, DO YOU HAVE (46) ☐ Drivers Lic. ☐ Restricted Chauffers License ☐ Car or Truck ☐ Unrestricted Chauffers License
16. CAN YOU PASS A COMPANY PHYSICAL EXAMINATION? (47) ☐ Yes ☐ No
17. MILITARY SERVICE (48-51) BRANCH | DATE ENTERED | DATE SEPARATED
18. NAME SCHOOLS AND DATES ATTENDED (Including Military and Degrees Received)
19. OCCUPATIONAL TITLE | DOT CODE (52-57)
20. DATE (58-63) Mo. Day Yr.
21. COUNTY CODE (64-65)
22. ETHNIC GROUP (66) 1 ☐ White 2 ☐ Negro 3 ☐ Amer. Ind. 4 ☐ Oriental 5 ☐ Other 6 ☐ SEA
23. SPAN. SURNAME (67) 1 ☐ Mexican 2 ☐ Puerto Rican 3 ☐ Other 4 ☐ No
24. VETERAN (68) 1 ☐ Non-Veteran 2 ☐ Vietnam Era 3 ☐ Other Veteran
25. HANDICAPPED (69) 0 ☐ No 1 ☐ Orthopedic 2 ☐ Vision-Hearing-Speech 3 ☐ Legal Offender 4 ☐ Neuropsychiatric 5 ☐ Epilepsy 6 ☐ Alcoholism 7 ☐ Drug Addict 8 ☐ Mental Retard 9 ☐ Other
26. WELFARE (70) WIN 1 ☐ Volunteer 2 ☐ Vol. Cert. 3 ☐ Required 4 ☐ Req. Cert. NON-WIN 5 ☐ Other Welfare 6 ☐ No Welfare
27. FAMILY INCOME (71) 1 ☐ Disadvantaged 2 ☐ Other Poor 3 ☐ Other
28. CLAIMANT (72) 1 ☐ State 2 ☐ UCX UCFE Disaster 3 ☐ TRA 4 ☐ UCX (13 Wks.) 5 ☐ No
29. EMPLOYABILITY DEVELOPMENT NEEDED (73) 1 ☐ Yes 2 ☐ No
30. FOOD STAMP APPLICANT (74) 1 ☐ Yes 2 ☐ No
31. LAST PROGRAM PARTICIPATED IN (Last 12 months) (75-76)
01 ☐ MDTA 02 ☐ JOP 11 ☐ NYC 33 ☐ Oper. Main. 20 ☐ Job Corps 31 ☐ CEP 33 ☐ WIN 45 ☐ PSC 60 ☐ Voc. Reh. 70 ☐ NAB JOBS 80 ☐ Transition 85 ☐ Other A 86 ☐ Other B 87 ☐ Other C 88 ☐ Other D 99 ☐ None
32. RESERVED FOR FUTURE USE (77-79)
33. LABOR FORCE STATUS (80) 1 ☐ Employed 2 ☐ Unemployed
34. OFFICE NUMBER (81-84)
35. STATION (85-88)

COUNSELING AND TESTING			EMPLOYABILITY PLAN
DATE	TYPE	SCORE	
	GATB		
	NATB		

E.D. OR SUPPORTIVE SERVICES PROVIDED	PP	REFERRED		ENROLLED		ENDED	
		DATE	INTV	DATE	INTV	DATE	INTV

COMMENTS, SPECIAL INFORMATION, ADDITIONAL SKILLS

RECORD OF SERVICE

DATE			EMPLOYER'S NAME OR TYPE OF SERVICE	JOB D.O.T.	JOB ORDER NO.	REFERRAL ACTIVITY			REMARKS
CALLED	REF.	OTHER				DUR.	PAY	RESULT	

ISES 508 (Rev. 1-70) INTRODUCTION CARD

To _____

Address _____

Introducing _____ Soc. Sec. No. _____

For Position of _____

Date to Report _____ A.M./P.M. ___

IOWA STATE EMPLOYMENT SERVICE
Affiliated with the
UNITED STATES TRAINING AND
EMPLOYMENT SERVICE

/s/ H. Day
Representative

FOR EMPLOYER USE

Was Applicant Employed?

Yes_____ Date Started Work _____

No_____ Reason _____

PLEASE DO NOT RETURN THIS CARD UNTIL THE APPLICANT HAS STARTED WORK.

_____
Employer's Signature

SP 17362

IOWA EMPLOYMENT SECURITY COMMISSION
IOWA STATE EMPLOYMENT SERVICE
Affiliated with the
UNITED STATES TRAINING AND
EMPLOYMENT SERVICE

Official Business

Postage and Fees Paid

Employment Security Mail

Lab 449

Des Moines Rehabilitation Employability Unit
Rehabilitation Education and Service Branch
1419 Harding Road
Des Moines, Iowa 50314

A-38

SR Form 16

Fifth Judicial District Department of Court Services

DES MOINES AREA OFFICES

Pre-Trial Release
Municipal Court Building
Des Moines, Iowa 50309
515-284-6336

Release With Service
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Pre-Sentence Investigation
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Probation Unit
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Men's Residential Facility
Bldg. 65, Ft. Des Moines
Des Moines, Iowa 50315
515-285-0676

Women's Residential Facility
3118 Cottage Grove
Des Moines, Iowa 50311
515-274-8371

CRESTON AREA OFFICE
111 W. Montgomery Street
Creston, Iowa 50801
515-782-8880

CHARITON AREA OFFICE
Chariton City Hall
Chariton, Iowa 50049
515-774-8112

NEWTON AREA OFFICE
1900 S. 7th Ave. E.
Newton, Iowa 50208
515-792-9130

SA AREA OFFICE
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Administrative Office, 1000 College Ave., Des Moines, Iowa 50314 515-244-3202

REQUEST FOR HOLD

Date _____

To: Mr._____, Sheriff, _____County, Iowa

Mr. _____, Chief Jailer, _____County, Iowa Jail

HOLD FOR

Fifth Judicial District Department of Court Services

Name _____ Age _____ D.O.B._____

Address _____Telephone _____

_____ County Probationer #_____ Offense_____

_____Recognizance Releasee_____ Pending

Offense_____Bond_____

The above named (Probationer, Recognizance Releasee) was released on (Probation, Recognizance) on _____ by:

Judge _____ of the City of _____

Judge _____ of the 5th Judicial District Court, Polk County, Iowa

The above named (Probationer, Recognizance Releasee) has violated the terms and conditions of his (Probationary Contract, Recognizance Release Contract) and therefore, it is requested that he be held in safekeeping while awaiting further disposition to the above named Judge in this matter.

Supervising Counselor_____ Title_____

Respectfully submitted,

William J. Elbert, Sr., Director
Community Services

By:_____

Orig.: Jail
CC: Sentencing or Releasing Judge
County Attorney
File

Administered through Polk County Board of Supervisors

LIST OF FORMS

PRE-SENTENCE INVESTIGATION

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PSI FORM 1 - RELEASE OF INFORMATION (SAME AS SR FORM 5)	A-39
PSI FORM 2 - PRE-SENTENCE INVESTIGATION REPORT FRONTSHEET	A-40
PSI FORM 3 - PSI INFORMATION REQUEST FORM	A-41
PSI FORM 4 - PSI INVESTIGATION CHECKLIST REPORT (INVESTIGATOR)	A-42
PSI FORM 5 - PSI INVESTIGATION CHECKLIST (COMPONENT)	A-44
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PSI Form 1
(same as SR Form 5)

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Fifth Judicial District
Department of Court Services

DES MOINES AREA OFFICES

Pre-Trial Release
Municipal Court Building
Des Moines, Iowa 50309
515-284-4336

Release With Service
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Pre-Sentence Investigation
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Probation Unit
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Men's Residential Facility
Bldg. 65, Ft. Des Moines
Des Moines, Iowa 50315
515-285-6670

Women's Residential Facility
3118 Cottage Grove
Des Moines, Iowa 50311
515-274-9371

CRESTON AREA OFFICE
111 W. Montgomery Street
Creston, Iowa 50801
515-782-6660

CHARITON AREA OFFICE
Chariton City Hall
Chariton, Iowa 50049
515-774-4112

NEWTON AREA OFFICE
1900 S. 7th Ave. E.
Newton, Iowa 50208
515-792-9136

SA AREA OFFICE
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Administrative Office, 1000 College Ave., Des Moines, Iowa 50314 515-244-3202

RELEASE OF INFORMATION

Name_____

Date of Birth_____

Record_____

I, the undersigned, hereby grant permission to disclose and deliver to the _____ Division of the Department of Court Services, any and all information contained in my record. Such information disclosed or delivered may include my complete case history as shown by my records, and any other information relating to my adjustment, treatment, and/or condition.

Signed_____

Date_____

Witness_____

Title_____

PSI Form 2

Probation Division

STATE OF IOWA
FIFTH JUDICIAL DISTRICT
DEPARTMENT OF ADULT COURT SERVICES
* * * * * * * * * * * * * * *
PRE-SENTENCE INVESTIGATION
* * * * * * * * * * * * * * *

IN THE DISTRICT COURT IN AND FOR _____ COUNTY, IOWA

STATE OF IOWA VS:	CAUSE NO. ORDERED BY AND PREPARED FOR

ALIAS:	SENTENCE DATE:
OFFENSE:	SENTENCE TIME:
CODE SECTION:	PLEA:
PENALTY:	VERDICT:
PRESENT ADDRESS:	TELEPHONE NO.:
LEGAL ADDRESS:	CITIZENSHIP:
PLACE OF BIRTH:	DATE OF BIRTH:
EDUCATION:	AGE:
EMPLOYMENT:	SEX:
MILITARY SERVICE:	RACE:
MARITAL STATUS:	COLOR OF HAIR:
DEPENDENTS:	COLOR OF EYES:
SOCIAL SECURITY NO.:	HEIGHT: WEIGHT:
CUSTODY:	
COUNTY ATTORNEY:	BCI NO.:
DEFENSE COUNSEL:	FBI NO.:
CHARGES PENDING:	PREPARED BY:
CO-DEFENDENTS:	
PRIOR OFFENSES:	

PSI Form 3

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Information Request Form

Fifth Judicial District Department of Court Services

DES MOINES AREA OFFICES

Pre-Trial Release
Municipal Court Building
Des Moines, Iowa 50309
515-284-6336

Release With Service
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Pre-Sentence Investigation
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Probation Unit
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Men's Residential Facility
Bldg. 65, Ft. Des Moines
Des Moines, Iowa 50315
515-285-0676

Women's Residential Facility
3118 Cottage Grove
Des Moines, Iowa 50311
515-274-5371

CRESTON AREA OFFICE
111 W. Montgomery Street
Creston, Iowa 50801
515-782-8880

CHARITON AREA OFFICE
Chariton City Hall
Chariton, Iowa 50049
515-774-8112

NEWTON AREA OFFICE
1900 S. 7th Ave. E.
Newton, Iowa 50208
515-792-9130

SA AREA OFFICE
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Administrative Office, 1000 College Ave., Des Moines, Iowa 50314 515-244-3202

Date:_____

Dear Sir:

I am writing a pre-sentence investigation report for the Fifth Judicial Department of Court Services in Polk County, Iowa, on _____.

I would appreciate it if you would send me a copy of (his, her) _____ and any other pertinent data that might aid me in my investigation.

The following information may be of assistance:

Name:_____

Date of Birth:_____

Social Security No.:_____

Race:_____

Sex:_____

Thank you very much for your consideration and prompt attention.

Sincerely yours,

Pre-Sentence Investigator

A-42

PSI Form 4, page 1 of 2

Investigator Checklist Report (Investigator)

AGENT: _____ MONTH: _____

P.S.I. INVESTIGATIONS COMPLETED

SOURCE	1	2	3	4	5	6	7	8	9	10	11	12	13	TOTAL
Defendant														
Version & Minutes														
Victim														
B.C.I.														
Police														
Police Att.														
Juvenile														
Inst. Files														
State Parole														
C.C.P.														
Family														
Spouse														
Education														
Employment														
Psychiatric														
Medical Records														
Military Rec.														
Drug/Alcohol Eval.														
Other														
Other														
Other														
Total														
Age														
Offense Code														
Judge														median
Recommendation														
Disposition														
Difference														

Average Sources: _____ Median Difference: _____

Agreement ___ of ___ = ____% Mode Recommendation _____

SCORE	DISPOSITION
1	Fine
2	Deferred Sentence (Probation)
3	Suspended Sentence (Probation)
4	Probation and Outpatient
5	Probation & Fort Des Moines Probation & Women's Facility
6	Polk County Jail
7	Oakdale Rockwell Fort Madison Anamosa

A	G. Holiday
B	Perkins
C	Critelli
D	Crouch
E	Denato
F	Wheeler
G	Clark
H	Bown
I	Missildine
J	Hughes
K	Assoc. Court Judges - e.g. Renda, etc.
L	Region Judges - Hayden, Van Wifast, etc.

INVESTIGATOR CHECKLIST (COMPONENT)

Defendant	Date of Birth	Offense	Judge	Due Date	Atty.	Inter.	Fam.	Off. Min.	BCI		Edu.		Vic.	Spouse	Emp.	Eval. Drug or Psych.	Pol. Att.	Pol. Ident.	Pol. or Sheriff Report	Ins. or CC	Juv.
									R	O	R	O									

INVESTIGATOR CHECKLIST (COMPONENT)

e	Due Date	Atty.	Inter.	Fam.	Off. Min.	BCI R	BCI O	Edu. R	Edu. O	Vic.	Spouse	Emp.	Eval. Drug or Psych.	Pol. Att.	Pol. Ident.	Pol. or Sheriff Report	Ins. or CC	Juv.	Other

COMPONENT DISPOSITION RECORD

AGENT	NAME	ATTORNEY	CR. NO.	DATE ORDERED	TIME	DATE DUE	JUDGE	CHARGE	DISPOSITION	S

PSI Form 6

COMPONENT DISPOSITION RECORD

ATTORNEY	CR. NO.	DATE ORDERED	TIME	DATE DUE	JUDGE	CHARGE	DISPOSITION	SENT

PSI Form 7

Investigator Thumbnail Checklist

SUBJECT'S NAME: _____

CRIMINAL NO.: _____

OFFENSE: _____

_____

COUNTY: _____

JUDGE: _____

ATTORNEY: _____

_____

_____ Interview with Defendant

_____ Official Version

_____ Minutes

_____ BCI

_____ Family

_____ Education

_____ Spouse

_____ Employment

_____ Psychiatric

_____ Police

_____ Community Corrections

_____ State Parole

_____ Institutional Files

_____

_____ Juvenile

_____ Police Attitude

_____ Attorney

_____ Ident

OTHER INFORMATION _____

_____

_____

_____

_____

_____

DATE DUE: _____

LIST OF FORMS

PROBATION

	PAGE
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PRO FORM 2 - PROBATION-POST-CONVICTION EVALUATION CODESHEET	A-48
PRO FORM 3 - STATEMENT OF PROBATIONER (INTAKE)	A-49
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PRO FORM 5 - RESTITUTION PLANS (3)	A-53
PRO FORM 6 - REPORT OF VIOLATIONS	A-62
PRO FORM 7 - REARREST NOTICE-VIOLATION NOTICE	A-69
PRO FORM 8 - ORDER(S) OF FINAL DISCHARGE (SUSPENDED AND DEFERRED)	A-70

Fifth Judicial District Department of Court Services

PROBATION DIVISION

TERMS AND CONDITIONS OF PROBATION

Number _____

Sentence _____

TO WHOM THESE PRESENTS BRING:

I, _____, having been granted (probation) (deferred sentence) on the _____ day of _____, 19____, by the District Court, _____ County, Iowa for the offense of _____ for which the Court allowed me supervision under the authority of the Department of Court Services. If sentence was deferred, the Court further ordered that I be returned to the above named Court for further disposition on the _____ day of _____, 19____.

I do hereby agree to abide by the following terms and conditions as set forth by the Court and Department of Court Services:

1.) I will secure and maintain lawful employment as approved by my Probation Officer and I agree to contact same, within twenty-four (24) hours, if I lose such employment.

2.) I will support my dependents and fulfill all my financial obligations to the best of my ability.

3.) I will obey all laws and conduct myself honestly and responsibly in my associations with others.

4.) I will reside in _____ County, State of Iowa unless otherwise granted permission by my Probation Officer.

5.) I shall secure from my Probation Officer written and/or oral permission before:

a.) changing employment
b.) borrowing money, going into debt, or buying on credit
c.) opening or using a checking account
d.) traveling outside my county of residence
e.) marrying
f.) purchasing or operating a motor vehicle which shall be adequately covered by liability insurance
g.) changing place of residence

6.) I will contact my Probation Officer as frequently as he may direct, by oral and/or written report.

7.) I will not own, possess, carry, or use a firearm or weapon of any kind.

8.) I agree:

a.) to (completely abstain from) (limit) the use of alcoholic beverages
b.) to completely abstain from use of narcotic drugs, stimulants, hallucinogenics, or marijuana, except those prescribed to me by a licensed physician
c.) that upon request of my Probation Officer, I will submit to Toxicology testing
d.) to contact my Probation Officer immediately if I have any contact with Law Enforcement authorities
e.) that any information I have under my control, I will make available to my Probation Officer

9.) I expressly agree and consent that should I leave the State of Iowa and be arrested in another state, I do hereby waive extradition to the State of Iowa from any state in which I may be found, and also agree that I will not contest any efforts by any jurisdiction to return me to the State of Iowa.

10.) Special conditions:

_____

_____

_____

_____

_____

11.) I understand that I am under the Supervision of the Fifth Judicial District Court Services, and that any violation, of the above conditions, may be cause for a Report of Violation to be submitted to the Court which could lead to revocation of my probation privileges.

I hereby certify that I have had read to me the above stipulations, and I agree to co-operate fully with this Agreement until discharge by the Court. I further certify that I have received a copy of the Probation Agreement.

Signed and witnessed this _____ day of _____, 19____

_____ Intake Agent

_____ Signature

_____ Supervising Agent

JUSTICE RESEARCH **A-48**

EVALUATION CODESHEET

CLIENT CHARACTERISTICS - POST-CONVICTION PROGRAMS

PRO Form 2

FORM 48274

NAME _____ (LAST, FIRST, MIDDLE)

DATE CODED: (MONTH) (DAY) (YEAR)

I. D. NUMBER (Leave Blank) 1 2 3 4 5 6

CODED BY: _____ 7 8 9

---

1 COURT DOCKET NUMBER

2 SOCIAL SECURITY NUMBER (Month, Day, Year)

3 DATE OF ARREST (Month, Day, Year) 10 11

4 DATE RECEIVED BY PROGRAM 12 13 14 15 16 17

5 SOURCE OF ASSIGNMENT TO THIS PROGRAM 18

0 Volunteer
1 Non-adjudicated assignment (specify)_____
2 Sentenced by criminal court
3 Sentenced by non-criminal court
4 Parole Board
5 Work Release Board
6 Federal
9 Uncodable or Other

6 CLIENT STATUS IMMEDIATELY PRIOR TO ASSIGNMENT TO THIS PROGRAM 19

1 Awaiting trial - Released on own recognizance
2 Awaiting trial - Released on bond
3 Awaiting trial - Released to Pretrial Release Project
4 Awaiting trial - Released to Pretrial Services Project
5 Awaiting trial - Detained in jail
6 Jail - Serving sentence
7 Mental institution
8 Medical facility
9 Correctional program
0 Uncodable or other

7 PREVIOUS ASSIGNMENT PROGRAM CODE: (specify)_____ 20 21 22

8 SENTENCING OFFENSE (see offense list) 23 24 25 26 27 28 29 30 31

9 LENGTH OF SENTENCE 32 33 34

001 - 998 Months
000 - Life
999 - Indefinite

10 NUMBER OF PRIOR ASSIGNMENTS TO THIS PROGRAM 35

0-8 or more

11 AGE AT FIRST ARREST 36 37

12 NUMBER OF PRIOR ARRESTS 38

0-8 or more

13 NUMBER OF JUVENILE CONVICTIONS 39

0-8 or more

14 NUMBER OF PRIOR ADULT CONVICTIONS 40

0-8 or more

15 NUMBER OF PRIOR ADULT PRISON SENTENCES 41

0-8 or more

16 NUMBER OF PRIOR ADULT JAIL TERMS 42

0-8 or more

17 NUMBER OF PRIOR PROBATION TERMS 43

0-8 or more

18 PRE-SENTENCE INVESTIGATION 44 45 46

000 - None
Yes, (specify)_____

---

19 AGE 47 48

20 SEX 49

1 Male
2 Female

21 RACE 50

1 Spanish-American
2 Negro-American
3 Anglo-American
4 American Indian
5 Asiatic-American
0 Other (specify)_____

22 NUMBER OF ALIASES 51

(Identity Falsification Only)
0-9 or more

23 MILITARY EXPERIENCE 52

0 No
1 Yes, honorable discharge
2 Yes, dishonorable discharge
3 Yes, other type of discharge
4 Yes, type of discharge unknown
5 Yes, active

24 MARITAL STATUS AT TIME OF ASSIGNMENT TO THIS PROGRAM 53

1 Single (never married)
2 Married
3 Separated
4 Divorced
5 Widowed
6 Common-Law Marriage
7 Homosexual Alliance
0 Uncodable or other (specify)_____

25 NUMBER OF LEGAL DEPENDENTS (excluding self) 54

26 NUMBER OF LEGAL DEPENDENTS NOT SUPPORTED FINANCIALLY BY CLIENT (principal or regular support) 55

27 LIVING ARRANGEMENTS 56

1 Living alone
2 Living with spouse (and children)
3 Living with child(ren)
4 Living with parent(s)
5 Living with friend(s)
0 Other (specify)_____

28 PUBLIC ASSISTANCE AT TIME OF ASSIGNMENT TO THIS PROGRAM 57

0 None
1 Self only
2 Dependents only
3 Self and dependents
4 Dependent upon recipient of public assistance

29 COUNTY OF RESIDENCE 58 59

30 COUNTY IN WHICH CRIME WAS COMMITTED 60 61

31 ARE DRUGS OR ALCOHOL CONNECTED WITH THIS CASE? 62

0 No connection
1 Yes, defendant had been using drugs or alcohol at time of offense
2 Yes, related criminal charge
3 Yes, offense committed to obtain money for drugs or alcohol
4 Yes, other (specify)_____
0 Not possible to determine

32 TYPE OF DRUG CONNECTED WITH CURRENT CASE 63

0 Does not apply
1 Alcohol
2 Marijuana, hashish, etc.
3 Amphetamines, barbiturates, tranquilizers, etc.
4 Hallucinogens
5 Hard narcotics (heroin, morphine, cocaine, etc.)
0 Unknown or other (specify)_____

---

33 HISTORY OF ILLEGAL OR EXCESSIVE USE OF DRUGS OR ALCOHOL

Key: 0 No use
1 Infrequent use
2 Former regular use - no current use
3 Former regular use - current use unknown
4 Current regular use
0 Uncodable or other (specify)_____

a. Alcohol 64

b. Marijuana, hashish 65

c. Amphetamines, barbiturates, tranquilizers, etc. 66

d. Hallucinogens 67

e. Hard narcotics (heroin, morphine, cocaine, etc.) 68

34 EMPLOYMENT AT TIME OF ASSIGNMENT TO THIS PROGRAM 69

0 Unemployed/laid off
1 Employed full-time
2 Employed part-time
3 Unemployable due to handicap
0 Uncodable or other (specify)_____

35 WEEKLY INCOME (in dollars) 70 71 72

36 OCCUPATIONAL LEVEL AT TIME OF ENTRY INTO THE PROGRAM 73

0 None
1 Unskilled
2 Semi-skilled
3 Skilled (Trades)
4 Clerical
5 Sales
6 Manager
7 Proprietor
8 Professional
0 Uncodable or other (specify)_____

37 PRIMARY INCOME SOURCE 74

0 None
1 Own employment
2 Spouse's employment
3 Family
4 Compensation, benefit, or retirement
5 Inheritance or investments
6 Public assistance
7 Criminal activity
8 Other individual
0 Other (specify)_____

38 YEARS OF FORMAL SCHOOLING COMPLETED 75 76

39 STUDENT STATUS AT TIME OF ASSIGNMENT TO THIS PROGRAM 77

0 Not a student
1 Full-time student
2 Part-time student

40 DIPLOMAS AND DEGREES 78

0 None
1 High School Equivalency (GED)
2 High school
3 Special Trade
4 Associate of Arts
5 BA/BS
6 MA/MS
7 PH.D/M.D./J.D.
8 Post-Doctoral
0 Other (specify)_____

C A 79 80

Probation Division

FIFTH JUDICIAL DISTRICT DEPARTMENT OF COURT SERVICES

Statement of Probationer

NAME _____ AGE _____ DATE OF BIRTH _____

OFFENSE _____ CRIMINAL NUMBER _____

JUDGE _____ ATTORNEY _____ COURT COSTS _____

SENTENCE _____ PLEA _____

ADDRESS _____ TELEPHONE _____

MARITAL STATUS _____ MARRIED TO _____

EMPLOYMENT _____ TELEPHONE _____

EDUCATION _____ COMMUNITY CORRECTIONS _____ PRE-TRIAL _____

PRE-SENTENCE INVESTIGATION _____ FORT DES MOINES _____

DRUGS _____

OTHER DETAILS _____

DATE IN _____ DATE OUT _____

INTAKE AGENT _____

RACE _____ HEIGHT _____ WEIGHT _____ HAIR COLOR _____

EYE COLOR _____ SOCIAL SECURITY NUMBER _____

PLACE OF BIRTH _____ MILITARY SERVICE _____

BRANCH _____ FROM _____ TO _____

SPECIAL TRAINING RECEIVED _____

TYPE OF DISCHARGE _____ HIGHEST GRADE COMPLETED IN SCHOOL _____

LOCATION _____ YEAR COMPLETED _____

OTHER VOCATIONAL TRAINING _____

WHERE _____ YEAR RECEIVED _____

FAMILY INFORMATION

RELATION	NAME	AGE	ADDRESS	TELEPHONE

MARITAL STATUS _____ SPOUSE'S NAME _____

AGE _____ ADDRESS _____ TELEPHONE _____

CHILDREN'S NAMES _____ AGE _____

_____ AGE _____

_____ AGE _____

_____ AGE _____

CHILD SUPPORT (AMOUNT AND PLACE PAID) _____ _____

RESTITUTION (AMOUNT AND PLACE PAID) _____ _____

_____

NAME OF PRINCIPAL CREDITORS	AMOUNT OWED

SAVINGS _____ BALANCE CHECKING _____ BALANCE NAME OF BANK _____

PREVIOUS ARRESTS (INCLUDING JUVENILE) _____

_____

PENDING CHARGES _____

PRESENT OFFENSE _____

AT THE TIME OF THE OFFENSE, I WAS LIVING WITH _____

AT _____ CO-DEFENDANTS ARE _____

_____

THE FOLLOWING IS MY VERSION OF THE OFFENSE _____

_____

_____

_____

_____

CONTINUED INFORMATION _____

_____

_____

_____

_____

_____ _____

SIGNATURE DATE

FIFTH JUDICIAL DISTRICT DEPARTMENT OF COURT SERVICES

MONTHLY REPORT

_____ 19____

Probation Division

_____
SUPERVISING AGENT

NAME_____ PRESENT ADDRESS_____
STREET

_____ TELEPHONE NUMBER_____
APT. # CITY STATE ZIP

SOCIAL SECURITY NUMBER_____ DO YOU OWN YOUR HOME_____

MONTHLY PAYMENTS_____ DO YOU RENT_____ MONTHLY RENT_____

EMPLOYER OR FIRM NAME_____ ADDRESS_____

_____ TELEPHONE NUMBER_____

NAME OF SUPERVISOR_____ TYPE OF EMPLOYMENT_____

_____ RATE OF PAY____ PER_____ TOTAL TAKE HOME PAY_____

DO YOU OR ANY MEMBER OF YOUR FAMILY RECEIVE ANY OTHER INCOME OR ASSISTANCE_____ IF ANSWER IS YES, NAME AGENCY AND AMOUNT_____

_____

HOW MUCH DO YOU OWE ON BILLS_____ HOW MUCH PAID OUT DURING MONTH ON BILLS_____

NAME OF CREDITORS	AMOUNT OWED
_____	_____
_____	_____
_____	_____
_____	_____

NAME OF BANK_____ SAVINGS_____ BALANCE CHECKING_____ BALANCE

DO YOU ATTEND AA MEETINGS_____ WHAT AA GROUP_____

ARE YOU USING NARCOTICS OR DRUGS AT THIS TIME_____ EXPLAIN_____

_____

WHAT OTHER VEHICLES DO YOU DRIVE OR OWN _____

_____

WERE YOU ARRESTED DURING THE PAST MONTH _____ EXPLAIN _____

_____

_____

DID YOUR ADDRESS CHANGE THIS MONTH _____

DID YOUR EMPLOYER CHANGE THIS MONTH _____

DID YOU CHANGE AUTOMOBILES THIS MONTH _____

DID YOUR INSURANCE COMPANY CHANGE THIS MONTH _____

SPECIAL PROBLEMS OR REQUESTS _____

_____

_____

_____

_____

_____
SIGNATURE

RESTITUTION PLANS (3)

STATE OF IOWA
VS

Criminal Number: ----------
County Attorney's Information
for: FALSE DRAWING OR
UTTERING OF A CHECK

ORDER

The record shows that on the 15th day of October, 1973, the defendant appeared in Warren County District Court with her attorney, ----------. The defendant, having previously plead guilty to the crime of False Drawing or Uttering of a Check on the ---- day of October, 1973, was sentenced to seven (7) years at the Women's Reformatory, Rockwell City, Iowa. It was the judgement and order of the Court that said sentence be suspended and the defendant granted probation to the Department of Court Services with restitution being a condition of her probation. It was a further order of the Court that the Department of Court Services submit to the Court a plan of restitution for the Court's approval as provided for in Senate File 26.

Let the record show that on this ---- day of December, 1973, the Court, having reviewed and studied the Plan of Restitution submitted by the defendant and her probation officer, does approve of this Plan of Restitution and so orders the defendant to comply with the Plan of Restitution, The Court, having approved this Plan of Restitution, has taken into consideration Section 8, Subsection 5 of Senate File 26.

It is the further order of the Court, that the defendant's restitution payment be paid through her probation officer, and this original order be filed with the Warren County District Court in and for the State of Iowa.

Approved and signed this ---- day of December, 1973.

/s/ Robert O. Frederick
ROBERT O. FREDERICK
JUDGE OF THE FIFTH JUDICIAL DISTRICT OF IOWA

Filed In Warren County District Court on this ---- day of December, 1973.

/s/ Charlotte L. Wilder
CLERK OF WARREN COUNTY DISTRICT COURT

COPIES TO:

DEFENDANT
DEFENDANT'S ATTORNEY
WARREN COUNTY ATTORNEY
DEFENDANT'S PROBATION OFFICER

PLAN OF RESTITUTION

TO: HONORABLE ROBERT O. FREDRICK, JUDGE
FIFTH JUDICIAL DISTRICT OF IOWA

FROM: ROBERT (BUZZ) HOFFMAN, PROBATION OFFICER
FIFTH JUDICIAL DISTRICT DEPARTMENT OF COURT SERVICES

----------, DEFENDANT
CRIMINAL NUMBER:----------

I. SENTENCE AND CHARGE

The records show that on October --, 1973, the defendant, being represented by counsel, appeared in Warren County District Court and pled guilty to the crime of False Drawing or Uttering of a Check.

On October --, 1973, the Court sentenced the defendant to seven (7) years at the Women's Reformatory at Rockwell City, Iowa. Said sentence was suspended and the defendant was granted probation to the Department of Court Services for an indeterminate period of time. It was further ordered by the Court, that as a condition of the defendant's probation, the defendant shall make full restitution as provided for in Senate File 26. Costs of said were assessed against the defendant.

II. PRESENT SITUATION

The defendant is presently residing with her brother, ----------, Iowa. She is employed at ---------- Restaurant in Boone, Iowa. She presently earns $1.60 per hour and her take home pay is approximately $200.00 a month. She is in training for the Assistant Manager's position.

The defendant wrote approximately $840.00 worth of bad checks. Said figure also includes service charges and Court Costs. $373.10 worth of bad checks have already been paid. The defendant has approximately $3,200.00 worth of loans and debts.

The defendant will be paying approximately $46.00 per week on her bills. Said figure includes $15.00 a week towards restitution.

To date, the defendant's cooperation with the Plan of Restitution, as well as complying with her probation contract, has been favorable.

III. PLAN OF RESTITUTION

The defendant wrote checks to the following merchants:
The * indicates the checks that have been paid by the defendant.

Pella

*	----------	$ 16.42
*	----------	20.00

Pella (Cont.)

*	----------		$ 20.00
*	----------		2.00
*	----------	(2 checks)	15.00 ea.
*	Rexall		30.00
	----------		25.00
			$143.42

Des Moines

*	----------	(Includes $3.00 Service Charge)	$ 32.45
	----------		59.80
			$ 92.25

Knoxville

*	----------		$ 6.00
*	----------		7.87
	----------		15.00
*	----------		15.00
*	----------	(Includes $2.00 Service Charge)	18.00
*	----------	(Includes $2.00 Service Charge)	7.52
*	----------	National Bank	45.00
			$114.39

Oskaloosa

*	----------		$ 93.70
*	----------		20.00
*	Penney's		25.00
			$138.70

Indianola

	----------		$ 25.00
	----------		27.30
	----------		40.00
	----------		80.00
	----------		10.00
	----------		41.93
	----------		20.00
	----------		20.00
	----------		15.00
	----------		15.00
	Court Costs		46.00
			$340.23

The Plan of Restitution calls for the defendant to take out a private loan of $1,500.00 with 8% interest. The loan will be based on a thirty (30) month period with payments of $55.34 per month. Said loan will cover all bad checks, loans already made to the defendant by family members to pay outstanding checks, service charges on checks, Court Costs, and help the defendant with some overdue bills and debts.

The $55.34 per month payment will be sent to the Probation Office prior to being sent to the individual who loaned the defendant the $1,500.00. In this manner, the records may be kept for the Court.

As stated previously, the defendant will be paying approximately $46.00 per week on weekly bills. This amount includes $15.00 a week towards her "restitution loan."

IV. CONCLUSION

In this Agent's opinion, this Plan of Restitution will not only pay the bad checks as ordered by the Court, but will also aid the defendant in other areas of her financial obligations. Further, it is hoped that the defendant will become more experienced in dealing with her financial obligations.

This Plan is submitted with the understanding that it may have to be revised in the future if the defendant's status changes to any great extent.

Respectfully Submitted for
the Court's Approval

_____
Defendant

/s/ Robert (Buzz) Hoffman
Robert (Buzz) Hoffman
Probation Officer

CC: Robert Gottschald
Warren County Attorney

Stephen Hall
Attorney

PLAN OF RESTITUTION

AUGUST --, 1974

TO: HONORABLE HARRY PERKINS, JUDGE
FIFTH JUDICIAL DISTRICT OF IOWA

FROM: LINDA D. HARPER, PROBATION OFFICER
FIFTH JUDICIAL DISTRICT DEPARTMENT OF COURT SERVICES

----------, DEFENDANT
CRIMINAL NUMBER: --------

I. SENTENCE AND CHARGE

On the ---- day of April, 1974, the defendant appeared in Polk County District Court in person and with her attorney, James Vincent, and entered a plea of guilty to the crime of Forgery (Count I) as defined in Section 718.1 of the 1973 Code of Iowa. It was the order of the Court that the defendant be imprisoned in the Women's Reformatory at Rockwell City, Iowa, for a term not to exceed ten (10) years.

It was further ordered that this sentence be suspended and the defendant be granted probation for a period of two (2) years under the supervision of the Department of Court Services. A condition of probation being that she make restitution on outstanding checks.

II. PRESENT SITUATION

The defendant is divorced and presently resides at ----------, Des Moines, Iowa with her boyfriend and/or employer, ----------. ---------- is the owner of ---------- located at ---------- Street, Des Moines, Iowa where the defendant is employed as a bar maid and earns approximately $60.00 per week.

The defendant has a son, ----------, who is three (3) years of age. --------- is in the temporary custody of his natural father, ----------, and will remain so pending an investigation by the Department of Social Services. The defendant does have hopes of gaining legal custody of her son.

The defendant states that she has no savings or checking account at this time. A list of the defendant's fixed expenses are as follows:

Expense	Amount per Month
Rent	$105.00
Groceries	80.00
Transportation	100.00
Clothes	60.00
Telephone	10.00
Attorney	50.00
Total	$405.00

This Agent asks the Court to note that these expenses are subject to financial assistance by ---------- with whom the defendant lives.

III. PLAN OF RESTITUTION

The defendant is paid by her employer weekly. Because of her living situation, it is felt by this Agent and the defendant, that she can make payments of restitution in the amount of $20.00 per week. The total amount of restitution to be paid is $206.00. This amount will cover in full, all currently known outstanding checks written to ---------- Grocery, ---------- and ---------- Grocery. A list of outstanding checks and their amounts is as follows:

---------- Grocery	$ 20.00
----------	20.00
---------Stores	166.00
Total	$206.00

The initial payment of restitution commenced July ----, 1974. The defendant has been regular in her weekly payments since the July ----, 1974 date and as of August ----, 1974, has $100.00 credited towards the $206.00 total.

IV. CONCLUSION

The defendant has shown the ability to maintain the current amount of weekly payments, therefore, it is the opinion of this Agent that this Plan be adhered to and accepted by the Court.

Respectfully submitted for
the Court's approval

Linda D. Harper, Probation Officer

----------, Defendant

Read and approved this _____ day of August, 1974, by:

Harry Perkins, Judge
Fifth Judicial District of Iowa

PLAN OF RESTITUTION

December 17, 1973

TO: HONORABLE DALE MISSILDINE, JUDGE
FIFTH JUDICIAL DISTRICT OF IOWA

FROM: LINDA D. HARPER, PROBATION OFFICER
FIFTH JUDICIAL DISTRICT DEPARTMENT OF COURT SERVICES

----------, Defendant
Criminal Number: ----------

I. SENTENCE AND CHARGE

The record shows that on the ---- day of July, 1973, the defendant appeared in Polk County District Court in person and with his attorney, Roger Hudson, and entered a plea of guilty to the crime of Assault With Intent to Inflict Great Bodily Injury as defined in Section 694.6 of the 1973 Code of Iowa. The Court accepted said plea of guilty and requested that the Department of Court Services make a pre-sentence investigation.

The record shows that on the ---- day of August, 1973, the defendant appeared in Court with his attorney, this being the date set for sentencing. It was the order of the Court that the defendant be imprisoned at the Men's Reformatory at Anamosa, Iowa, for a term not to exceed one (1) year. It was further ordered that the sentence be suspended and the defendant be granted probation for a period of one (1) year.

On the ---- day of November, 1973, a supplemental order was issued by the Court amending the original order. The supplemental order stated that the defendant would be responsible for payment of restitution as a condition of his probation.

On the ---- day of November, 1973, a hearing was held in Polk County District Court to determine if the defendant's constitutional rights had been violated by the issuance of the supplemental order requiring payment of restitution. At this time, the defendant's appeal was denied. The defendant was ordered to pay restitution as stated in the order of ----------, 1973, and in accordance with Senate File 26. A violation of this order would be considered a violation of the defendant's probation.

II. PRESENT SITUATION

The defendant is presently residing with his wife at ---------- in Des Moines, Iowa. There are no children of this marriage or for which the defendant pays child support. The defendant is employed by S & J Marine in Des Moines, Iowa. He has been temporarily laid-off since December ----, 1973; however, he feels reasonably sure he will be back at work by February of 1974. He has applied for unemployment benefits in the meantime. The defendant's usual salary would be $300.00 per month take home. The defendant's wife is

presently working two (2) jobs. She is employed full time by the United Way, where her take home pay is $308.94 per month. Her second part time job is with Blue Cross-Blue Shield and her take home pay here is approximately $100.00 per month. A list of the defendant's monthly expenses totaling $659.24 is as follows:

EXPENSE	AMOUNT	TOTAL - IF KNOWN
Rent	$120.00	
Dial Finance	30.00	$630.00
Firestone	15.00	225.00
Penny's	20.00	200.00
Groceries	140.00	
Lawyer	25.00	700.00
Doctor	10.00	
Ballard's 66	40.00	139.00
Renter's Insurance	10.24	
Car and Truck Insurance	15.00	
Water	7.00	
Lights and Gas	25.00	
Fuel Oil	40.00	
Telephone	20.00	
Gas (Car and Truck)	40.00	
Miscellaneous	40.00	
Parking	12.00	
Car Payment	45.00	643.00
Dentist	5.00	150.00
TOTAL	$659.24	

----------	$300.00
----------	308.94
	100.00
total	$708.94
less payments	659.24
total	$ 54.70

This figure does not include the $25.00 per month the defendant is to pay towards restitution.

III. PLAN OF RESTITUTION

A summary listing of bills incurred by the victims of this offense, -------- ----------, is as follows:

EXPENSE	AMOUNT	INSURANCE PAID	BALANCE
Ambulance	$ 42.00	$ --	$ 42.00
Dr. --------	128.00	75.00	53.00
Dr. --------	10.00	10.00	--
Dr. --------	1,235.00	437.50	797.50
Dr. --------	35.00	35.00	--
Anesthetist	139.40	139.40	--
House of Vision	69.70	--	69.70
Dr. A. A. ------	17.00	--	17.00
Dr. A. A. ------	20.00	--	20.00

EXPENSE	AMOUNT	INSURANCE PAID	BALANCE
Iowa Lutheran	$ 16.00	$ 16.00	$ —
Iowa Lutheran	30.00	30.00	—
Car Damage	78.49	78.49	—
Oak Park Pharmacy	27.13	—	27.13
Oak Park Pharmacy	6.00	—	6.00
Iowa Lutheran	1,835.65	1,835.65	—
TOTALS	$3,911.37	$2,727.04	$1,184.33

Receipts and insurance forms verifying the victims' bills are in the possession of this Agent and can be made available to the Court upon request.

In determining a reasonable Plan of Restitution there seemed to be two (2) alternatives to consider. The first being that the defendant obtain a loan for the full or partial amount of expense incurred by the victim, reimburse the victim and make monthly payments to the loan company. However, after talking with several loan companies, it was apparent to this Agent that a loan could not be obtained at this time by the defendant. The second alternative and the Plan to be submitted to the Court is that the defendant make monthly payments to the victims, Mr. and Mrs. ----------, through the office of the Department of Court Services. The amount to be paid monthly figured at $25.00 and to continue through August 1974, which is the date the defendant is due for discharge from probation. At that time, the defendant will have paid a total of $200.00 in restitution.

IV. VICTIM'S RESPONSE

This Agent has talked with the victim, ----------, at some length regarding his feelings toward the Plan of Restitution which is being submitted to the Court. Although the total to be paid does not nearly compensate ------ and ------ -------- for their total expenses, Mr. -------- has indicated that he is very pleased to receive the amount settled on as he did not originally feel he would get any reimbursement. He has expressed that his faith in justice is somewhat restored and is appreciative of the effort made on the Court's part to see that some restitution is made.

The victims have been informed that this payment of restitution in no way denies them the right to pursue recovery of additional compensation through civil action after August, 1974, when the defendant is discharged from probation if they should so desire.

V. CONCLUSION

This Plan of Restitution has been difficult to figure primarily because of the great difference in the amount of the victims' expenses and the defendant's inability to pay. It is the opinion of this Agent, that the Plan is a realistic one which the defendant will be able to follow.

Respectfully submitted for
the Court's approval

_____
----------, Defendant

_____
Linda D. Harper, Probation Officer

Fifth Judicial District
Department of Court Services

DES MOINES AREA OFFICES

Pre-Trial Release
Municipal Court Building
Des Moines, Iowa 50309
515-284-6336

Release With Service
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Pre-Sentence Investigation
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Probation Unit
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Men's Residential Facility
Bldg. 65, Ft. Des Moines
Des Moines, Iowa 50315
515-285-0676

Women's Residential Facility
3118 Cottage Grove
Des Moines, Iowa 50311
515-274-9371

CRESTON AREA OFFICE
111 W. Montgomery Street
Creston, Iowa 50801
515-782-6880

CHARITON AREA OFFICE
Chariton City Hall
Chariton, Iowa 50049
515-774-8112

NEWTON AREA OFFICE
1900 S. 7th Ave. E.
Newton, Iowa 50208
515-792-9130

5A AREA OFFICE
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Administrative Office, 1000 College Ave., Des Moines, Iowa 50314 515-244-3202

REPORT OF VIOLATIONS

August 13, 1974

TO: Honorable ----------, Judge
Fifth Judicial District of Iowa

SUBJECT: ----------

OFFENSE: Larceny of a Motor Vehicle

CRIMINAL NUMBER: ----------

DATE OF SENTENCING: ----------

SENTENCE: Suspended

ATTORNEY: ----------

FROM: Robert (Buzz) Hoffman,
Probation Officer,
Department of Court Services

REPORT OF VIOLATIONS
RE: ----------
PAGE TWO

I. SENTENCE AND CHARGE

The records show that on the ---- day of October, 1973, a trial jury returned a verdict of guilty against the defendant for the crime of Larceny of a Motor Vehicle as defined in Section 321.82 of the 1973 Code of Iowa. On the ---- day of November, 1973, the defendant appeared in Polk County District Court with his attorney, ----------. The Court, having studied the pre-sentence investigation report, ordered the defendant to be imprisoned in the Men's Reformatory, Anamosa, Iowa for a term not to exceed ten (10) years.

It was further ordered that said sentence be suspended and the defendant granted probation to the Department of Court Services for a period of two (2) years as provided for in Senate File 26, 65th General Assembly, subject to revocation by the authority of Section 247.26 of the Code of Iowa on informal notice and informal hearing that the defendant has fairly failed to live with the terms of such probation.

It was further ordered that a condition of said probation be that the defendant commit himself to the Fort Des Moines Correctional Facility to a term of one (1) year.

II. PROBATION HISTORY

On November 16, 1973, before committing himself to the Fort Des Moines Correctional Facility, the defendant signed the Department of Court Services regular Probation Contract. On this date, he entered the Fort Des Moines Correctional Facility.

On December 12, 1973, the defendant was taken to the Polk County Jail for two (2) violations. He was allowed to re-enter the Facility on January 3, 1974. However, on March 1, 1974, he was returned to the Polk County Jail for additional violations of the rules. On March 14, 1974, while a prisoner in the Polk County Jail, the defendant escaped, but was returned a short time later.

A revocation hearing was held upon request of the Fort Des Moines Correctional Facility, however, the Court denied revocation of the defendant's probation at that time.

On April --, 1974, the Court requested this Agent to interview the defendant, draw up a "Special Probation Contract" and submit same for the Court's approval. On April --, 1974, this Agent interviewed the defendant for that purpose. The defendant related the following: he would get a job, keep it; get his GED; obey all laws; pay his debts and show financial responsibility; listen to those in authority; be a good husband and father; and abide by the rules of a probation. On April --, 1974, using the defendant's own ideas in combination with the Department of Court Service's regular Probation Contract, a "Special Probation Contract" was devised for the defendant. On this date, the Court approved same.

REPORT OF VIOLATIONS
RE: ----------
PAGE THREE

On April --, 1974, the "Special Probation Contract" was given to the defendant, who read same out loud and correctly explained each condition in detail to this Agent. On this date, the defendant was brought before the Court. The defendant stated, for the record, that he completely understood the contract and could abide by all the rules. The contract was signed and dated in the presence of the Court. The contract was also read to the defendant's wife on this same date.

By May --, 1974, the defendant had already violated four (4) terms of his probation contract. Please refer to the attached "Admission of Violating Terms and Conditions of my Probation Contract" signed by the defendant and witnessed by this Agent. At that time, the defendant admitted to having quit his job without permission, failed to notify this Agent of his loss of his job; changed residence without written approval; failed to contact this Agent; and failed to attend GED classes and Wednesday night group lectures.

The defendant was granted another chance to which he responded favorably for approximately two (2) weeks. His contact with this Agent was good, his attendance at GED and Wednesday night group lectures became more favorable, and he held a facsimile of a job with a group of friends. However, from June -- to June --, 1974, the defendant failed in all manners of contacting this Agent and he did not make it to any of the GED classes or Wednesday night group lectures.

Due to the defendant's additional violations, the defendant was taken to Judge ---------- Chambers on June --, 1974. The defendant was instructed by the Court to stop the "excuses" and start doing better.

The defendant was then allowed to roof houses for one ----------. On July --, 1974, the defendant advised he had earned $95.00 for one (1) job. However, on July --, 1974, the defendant admitted he had made only $50.00 on this job. He also admitted that he had been fired on July 4, 1974.

On July --, 1974, this Agent transported the defendant in the Des Moines area for job interviews. On this date, he obtained employment with Great Plains Bag Company. At this time, the defendant was advised to continue calling this Agent every day.

The defendant did call the probation office on July -- and July --, 1974, his wife called on July --, 1974, the defendant called on July --, 1974, he failed to call on July -- and July --, 1974, and on July --, 1974, the defendant called. He admitted to missing work on July --, July --, July --, and July --, 1974. Therefore, all the dates that he had previously called in, he had lied about his employment status. He was able to clear up the misunderstanding with his employer and began to work again. From July --, 1974, to August --, 1974, the defendant or his wife called the probation office on only three (3) occasions. The defendant also failed to report in person during the same two (2) weeks.

REPORT OF VIOLATIONS
RE: ----------
PAGE FOUR

Due to the defendant's absenteeism, a check produced the fact that the defendant had left the Des Moines area without permission. The defendant was contacted in Davenport, Iowa, on August --, 1974. He was given until noon on August --, 1974, to report to the probation office. On August --, 1974, the defendant did report and admitted violating the following probation rules: 1) quitting Great Plains Bag Company after working only a total of three (3) days and not notifying his probation officer of quitting said job; 2) failure to pay bills in that he was three (3) months behind in rent and did not make payment on any other debt; 4) lying to the probation officer about employment status; 5) leaving Polk County, Iowa without written approval and 8) did not call his probation officer nor report in person as directed.

III. PROBATION RULES VIOLATED

1. I will obtain lawful employment as approved by my Probation Officer; I will tell my Probation Officer within twenty-four (24) hours if I lose my job; I will not leave my job during working hours unless I am ill; and I will not change jobs without my Probation Officer's written permission.
2. I will support my wife and children and pay my bills and debts (including court costs) to the best of my ability. I will not borrow money or buy on credit until I have received written permission from my Probation Officer.
3. I will obey all laws and always tell my Probation Officer the whole truth.
4. I will live in Polk County, State of Iowa, unless otherwise granted permission by the Court and my Probation Officer. I will not change my residence (address) until my Probation Officer gives his written approval. I will always keep my Probation Officer informed of my address and telephone number.
5. I will receive from my Probation Officer, written approval before traveling outside of Polk County.
8. I will report in person to my Probation Officer once a week and telephone my Probation Officer twice a week.
14. I will obtain my GED while on Probation and attend any group(s), lectures or conferences which my Probation Officer feels would be of benefit to me.

IV. SUMMARY OF PROBATION RULES VIOLATED

1. I will obtain lawful employment as approved by my Probation Officer; I will tell my Probation Officer within twenty-four (24) hours if I lose my job; I will not leave my job during working hours unless I am ill; and I will not change jobs without my Probation Officer's written permission.

REPORT OF VIOLATIONS
RE: ----------
PAGE FIVE

The defendant failed to abide by this rule in that he quit his job at Gibson-Homans of Iowa, Inc., without permission of this Agent. He also failed to notify this Agent within 24 hours. He was so employed by said company for 2 1/2 days. (Please refer to "Admission of Violating Terms and Conditions of my Probation Contract.")

The defendant also failed to abide by this rule in that he quit his job at Great Plains Bag Company. He further failed to notify this Agent of his change in employment status within 24 hours. On August --, 1974, the defendant admitted that he had been employed by Great Plains Bag Company for only three (3) days.

Giving the defendant credit for his employment with friends and for his "excuses," it is estimated that he worked no more than five (5) weeks out of a total of 14 weeks on probation.

2. I will support my wife and children and pay my bills and debts (including court costs) to the best of my ability. I will not borrow money or buy on credit until I have received written permission from my Probation Officer.

   The defendant failed to abide by this rule in that he is behind in his June, July, and August rent. The defendant admitted to being behind in his rent and the information was confirmed by his landlord, ----------.

3. I will obey all laws and always tell my Probation Officer the whole truth.

   The defendant failed to abide by this rule in that on May --, 1974, he claimed to have worked for one --------, who denied said employment.

   Also, the defendant claimed to have made $95.00 on a roofing job, but later confessed to having made only $50.00.

   Further, during the time period of July -- to July --, 1974, when the defendant or his wife did call the Probation Office, he lied about his employment status.

4. I will live in Polk County, State of Iowa, unless otherwise granted permission by the Court and my Probation Officer. I will not change my residence (address) until my Probation Officer gives his written approval. I will always keep my Probation Officer informed of my address and telephone number.

   The defendant failed to abide by this rule in that he and his wife made an agreement to rent a house at ----------. He and his wife did so without written permission by this Agent. At first, the defendant claimed that his wife made the agreement without his knowledge. However, on May --, 1974, he admitted the violation in that he changed residence without written approval. (Please refer to "Admission of Violating Terms and Conditions of my Probation Contract.")

REPORT OF VIOLATIONS
RE: ----------
PAGE SIX

5. I will receive from my Probation Officer, written approval before traveling outside of Polk County.

The defendant failed to abide by this rule in that he left Polk County, Iowa, on or about August --, 1974, without written approval of this Agent. He was later located in Davenport, Iowa. Further, the defendant admits to having gone into the State of Illinois without a written travel permit approved by this Agent.

8. I will report in person to my Probation Officer once a week and telephone my Probation Officer twice a week.

The defendant failed to abide by this rule on numerous occasions. On May --, 1974, the defendant admitted to violating this rule in that he has failed to call this Agent and failed to report in as required. (Please refer to "Admission of Violating Terms and Conditions of my Probation Contract.")

After being granted another chance, the defendant responded favorably until June --, 1974. After said date, defendant failed to call this Agent or report into the Probation Office. On June --, 1974, the defendant was taken to Judge Crouch's chambers for a conference. After said conference, the defendant again responded favorably until July --, 1974. However, he failed to call this Agent on July --, July --, July --, July --, July --, July --, August --, and August --, 1974. He also failed to report in person during the weeks of July -- to July --, 1974, July -- to July --, 1974, and July -- to August --, 1974.

14. I will obtain my GED while on Probation and attend any group(s), lectures or conferences which my Probation Officer feels would be of benefit to me.

The defendant failed to abide by this rule in that he did not report to GED classes on May --, May --, and May --, 1974, and missed the Wednesday night group meeting on May --, 1974. On May --, 1974, the defendant admitted to said violations (please refer to "Admission of Violating Terms and Conditions of my Probation Contract").

The defendant was then absent on the following dates: May --, May --, May --, and June --, 1974. He did report on June --, June --, June --, June --, and June --, 1974. However, he became absent again on June --, June --, and June --, 1974. After the conference with Judge Crouch, he reported on June --, June --, July --, and July --, 1974.

During the week of July --, 1974, the defendant was granted permission to miss the GED meetings as long as he took a GED test at the Urban Campus. Unfortunately, he only spent 25 minutes in said test which appeared as though he had merely randomly marked the boxes.

After obtaining employment on July --, 1974, that required night work, he was instructed to report to his GED teacher at the Urban Campus. According to the GED teacher, Harriet Custer, he failed to contact her even though he had been given her telephone number.

REPORT OF VIOLATIONS
RE: ----------
PAGE SEVEN

V. DEFENDANT'S PRESENT STATUS

The defendant is presently incarcerated in the Polk County Jail awaiting further disposition in this case.

VI. ADDITIONAL INFORMATION

While the defendant was "absent" from the Polk County area, he went across the State Line into Rock Island, Illinois. He made contact with one -------, Personnel Director for Line-O-Tronics, Inc., located at ----------. Mr. ------- was contacted by this Agent in regard to possible employment for the defendant. ---------- advised that he would still be willing to employ the defendant as a laborer for $3.00 per hour.

VII. CONCLUSION

The defendant has been granted leniency on two (2) occasions by the Court and was granted two (2) additional chances by this Agent. He did display two (2) brief periods of some responsible behavior. However, the majority of the time the defendant has been very irresponsible in regards to his probation contract and his commitment to the Court. In fact, this Agent is of the opinion that the defendant spent more time in trying to figure out how he could get out of things than he would have spent if he would just have done the task.

The only two (2) positive things that this Agent can express at this time are that the defendant can have employment with Line-O-Tronics and he reported back to Polk County after being advised to do so.

This Agent is of the strong opinion that the only probation the defendant could complete is one without any rules.

Respectfully submitted,

/s/ Robert (Buzz) Hoffman

Robert (Buzz) Hoffman

PRO Form 7

A-69

REARREST NOTICE/VIOLATION NOTICE

Fifth Judicial District
Department of Court Services

DES MOINES AREA OFFICES

Pre-Trial Release
Municipal Court Building
Des Moines, Iowa 50309
515-284-6336

Release With Service
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Pre-Sentence Investigation
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Probation Unit
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Men's Residential Facility
Bldg. 65, Ft. Des Moines
Des Moines, Iowa 50315
515-285-0676

Women's Residential Facility
3118 Cottage Grove
Des Moines, Iowa 50311
515-274-5371

CRESTON AREA OFFICE
111 W. Montgomery Street
Creston, Iowa 50801
515-782-8880

CHARITON AREA OFFICE
Chariton City Hall
Chariton, Iowa 50049
515-774-8112

NEWTON AREA OFFICE
1900 S. 7th Ave. E.
Newton, Iowa 50208
515-792-9130

SA AREA OFFICE
1000 College Ave.
Des Moines, Iowa 50314
515-244-3202

Administrative Office, 1000 College Ave., Des Moines, Iowa 50314 515-244-3202

DATE_____

TO:_____

FROM:_____

RE:_____

CRIMINAL NUMBER:_____

SENTENCING OFFENSE:_____

DATE:_____

On _____, 197__, the above named Probationer was arrested for _____

_____.

This Agent is presently investigating the circumstances surrounding this arrest and will report them to the Court at a later date. Following is a list of Contract rules that have been violated by the Probationer:

_____

_____

_____

_____

_____

Administered through Polk County Board of Supervisors

CRIMINAL NO: _____

INDICTMENT FOR: _____

STATE OF IOWA

VS.

SENTENCE: _____

_____

SUSPENDED SENTENCE
ORDER OF FINAL DISCHARGE

NOW, on _____, 19___, the Defendant is before the Court in person and moves his discharge from probation.

The Court finds that the Fifth Judicial District Department of Court Services, having supervision of Defendant's probation as previously ordered, now reports his successful completion of such probation and on the recommendation of said Department, and of the Office of the _____ County Attorney, it is,

ORDERED, that Defendant is discharged from probation and sentence.

_____
Judge of the Fifth
Judicial District of Iowa

_____
County Attorney

_____
Sheriff

_____
Probation Officer

STATE OF IOWA
VS.
_____

CRIMINAL NO: _____
INDICTMENT FOR: _____
_____

DEFERRED SENTENCE
ORDER OF FINAL DISCHARGE

NOW, on _____, 19___, the Defendant is before the Court in person and with his attorney, _____, in accordance with the Order entered herein on _____, 19___, and moves to withdraw his plea of guilty and moves the dismissal of this charge.

The Court finds that the Fifth Judicial District Department of Court Services, having supervision of Defendant's probation as previously ordered, now reports his successful completion of such probation and on the recommendation of said Department and the Office of _____ County Attorney, it is,

ORDERED, that the Defendant's plea of guilty previously entered herein is withdrawn.

IT IS FURTHER ORDERED that this charge is dismissed with prejudice in the interest of justice.

_____
Judge of the Fifth
Judicial District of Iowa

_____
County Attorney

_____
Probation Officer

LIST OF FORMS

COMMUNITY CORRECTIONAL FACILITY

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CLIENT

SIGN OUT SHEET

NAME _____

DATE	TIME OUT	EXP. RETURN	WHERE, ADDRESS & PHONE (Company, School, Home)	TIME IN

Visitor Sign-In Sheet

DATE	NAME OF VISITOR	ADDRESS	RELATIONSHIP	TIME		TRANSPORTATION	WHO
				IN	OUT	MAKE-YR.-LIC.-COLOR	VISI

Visitor Sign-In Sheet

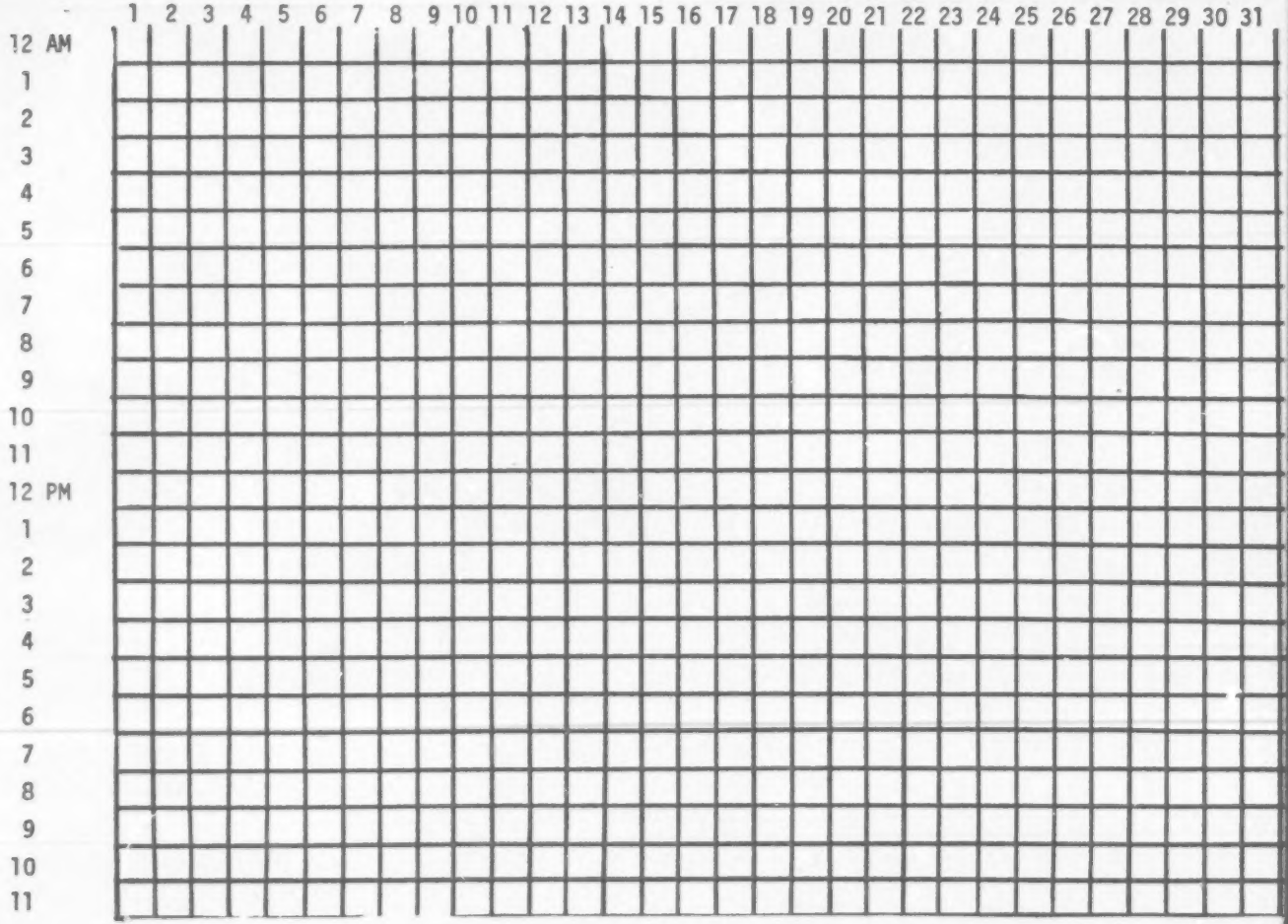
...OR	ADDRESS	RELATIONSHIP	TIME IN	TIME OUT	TRANSPORTATION MAKE-YR.-LIC.-COLOR	WHOM VISITED

CCF Form 2

Eye Check Form - Client Location

NAME _____ ROOM _____ MONTH _____

WORK OR SCHOOL _____ _____ _____
Where Address & Phone Hours

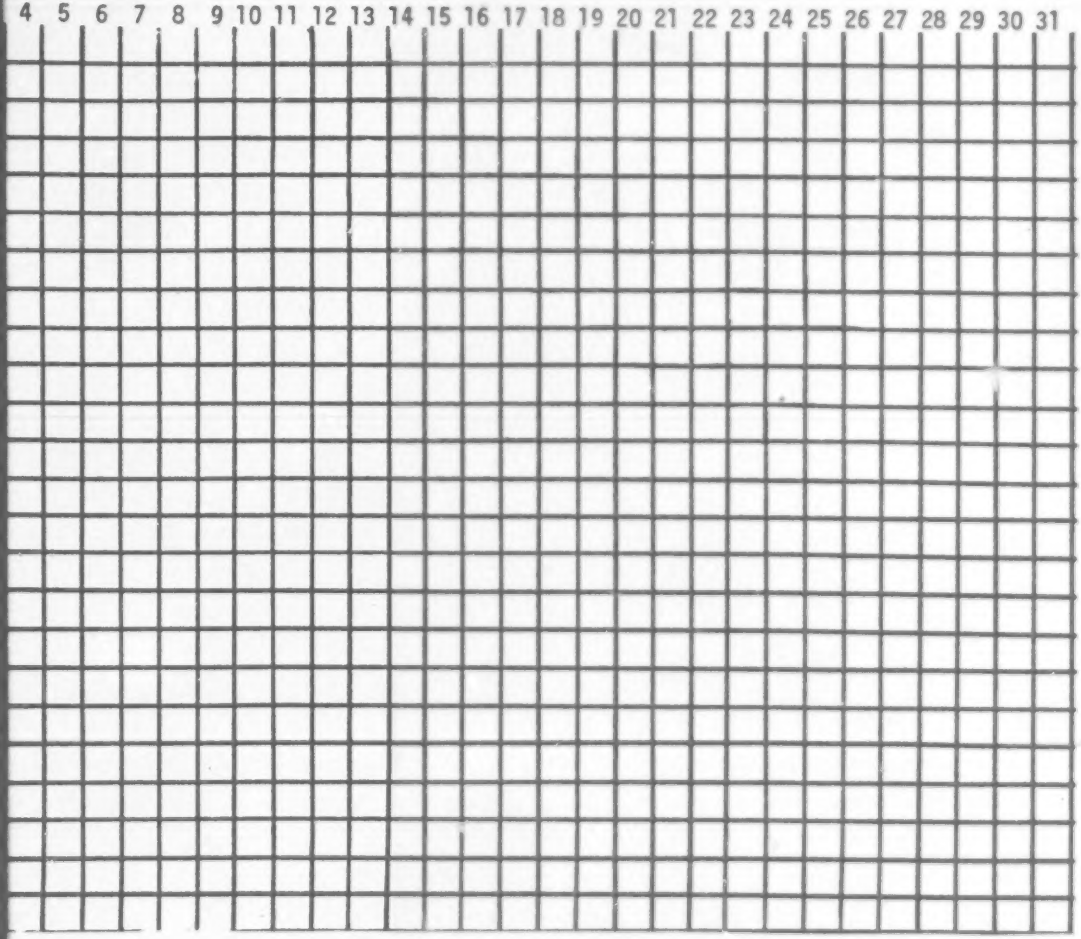


Eye Check Form - Client Location

CCF Form 3

_____ ROOM _____ MONTH _____

Where _____ Address & Phone _____ Hours _____



CCF Form 4

BEHAVIOR OBSERVATION REPORT

TO:_____ FROM:_____

CLIENT:_____ DATE:_____ TIME:_____

Nature or circumstances of contact or observation:

Behavior or attitude of the client:

CLIENT CONTRACT

Ft. Des Moines Residential Corrections Center is a treatment center available to you on a voluntary basis. Before anyone comes to the center, they must understand what is expected of them and what they expect of the treatment center. Ft. Des Moines was developed for the man who is ready to make a change in his life style but may need some help. If you feel that you don't need or want to change your life style, then the treatment center is probably not for you.

When you enter the Ft. Des Moines Residential Corrections Center, there will be an assessment period of at least one week. During this time, you will be restricted to the building and will have no visitors. You and your counselor will discuss what goals you may have. For instance, you may want a job, or to further your education. However, no one is going to force you into a specific job or school. You are the only one who knows what you want. This is not to say that you can just "put in your time" and leave. If you just want to put in your time, the Polk County Jail is the place to do that, and you will be asked to leave. The staff is available to you if you need them, and there must be mutual cooperation between you and the staff.

There are many privileges you may earn during your stay here, but you also have responsibilities. These are:

1. There is a service fee of $5.00 per day (subject to change according to the costs of the institution) to cover part of the expenses of the program. Some men pay this money out of their earnings while on work release. Those without jobs may work 21 hours per week (at $1.60 per hour) around the building as directed by the maintenance supervisor to cover their expenses. If you fall behind more than one week, you will be subject to return to Polk County Jail.

2. Entrance to the Correctional Facilities means restriction to the to the building and no visitors. Privileges will be granted on the basis of merit.

3. Privileges that can be granted are:

   A) Visitors

   B) Leaving the building with the permission of the desk man

   C) Attending activities on or off the grounds

   D) Work Release

E) Furlough--Usually not granted until at least 1 month after arrival at RCS

F) Parole or probation

G) Other possibilities suited to individual needs at the discretion of your counselor. You are responsible for:

Any privilege given must be in writing and signed by your counselor.

1. Reporting for work at 9:00 a.m. if not on work release.

2. Keeping your room clean.

3. Conducting yourself with consideration for others, clients and staff.

4. Following the directions of staff members. If you feel that you have been treated unfairly, a written complaint should be filed with Jim Hancock. If the proper manner is not taken, the right of complaint could be denied.

5. Showing respect for the personal property of others and also of the facility.

6. No fighting.

7. No one is to leave the building after dark except with a counselor. No one is to leave the building at any time without the explicit permission of the counselor. Be sure the sounselor writes this permission in the log. It is your responsibility to follow the requirements of your special permission.

8. You must be able to demonstrate progress toward rehabilitation. You must show that you are utilizing the program for your own benefit.

You will receive privileges through mutual agreements with your counselor based on your performance. Failure to meet the responsibilities as outlined in this contract will make you subject to return to the Polk County Jail.

I fully understand the conditions of this contract and agree to abide by it. I also understand the consequences of failing to abide by this contract.

_____ _____

Date Signature

_____

Counselor

RULES AND REGULATIONS
OF THE
RESIDENTIAL CORRECTIONS SERVICES
EFFECTIVE SEPTEMBER 9, 1974

I. LEAVING THE FACILITY

No resident is to leave the facility without first obtaining the written permission of the Director or Assistant Director or possession of the proper Court Order. The resident is then required to sign out at the control desk.

II. WORK RELEASE

The residents at the Residential Corrections Center who leave the facility for work each day must adhere strictly to their work release orders. However, whenever their jobs require them to leave the designated site, or when they are required to work overtime, their employer must call the facility and inform the man in charge of the resident's whereabouts, and what time they expect them to return to the facility. Residents without jobs are required to work around the facility for at least three hours a day as directed by the maintenance supervisor. Each resident who is allowed a work release privilege, must have his work release order in his possession. A resident who returns from work due to illness must remain in his room until his counselor has given him the OK to be downstairs.

III. TRANSPORTATION

The residents at the Residential Corrections Center are taken to and from their job sites by the vans of the facility. Permission to be taken to a job interview or elsewhere requires the written permission of that individual's counselor or the job placement counselors, who in turn must make arrangements with the transportation supervisor. Under no conditions are the residents to be taken home to pick up personal possessions; likewise no residents are allowed to accompany the driver merely for the purpose of riding along. It is the resident's responsibility to be ready on time to leave in the van. If a resident gets off work early, he is to phone the facility immediately to be picked up. A resident is not allowed to ride back from work with anyone at the work site. Means of transportation is

by R.C.S. vans. Other exceptions must be in writing by the counselor. While in the vans the clients are to conduct themselves with respect for the driver, the community and the other clients. There is to be no horse-play in the vans and no yelling or gesturing out the van windows. There is to be no eating or drinking in the van and clients are not to leave litter in the van or throw it from the van.

IV. FURLOUGHS

When a resident at the Residential Corrections Center receives a furlough, he is responsible for strictly adhering to all conditions of that furlough. Returning to Fort Des Moines Facility while on furlough will result in automatic termination of that resident's furlough. Transportation to and from furlough is the responsibility of the resident. A resident is not allowed to leave Polk County unless such leave is written in his furlough. A resident must, at all times, have the furlough in his possession.

V. GOING OUTSIDE

Resident may go outside at the discretion of the desk counselor. Permission must first be obtained from the desk counselor before a resident leaves the building (this includes going to the outside steps). No residents are to be outside of the building after sundown. When residents are outside at the discretion of the desk counselor, they are not allowed to go up to or in any vehicles unless they have obtained specific permission from the desk counselor. Residents allowed outside under this rule must stay within the following boundaries: on the North, they are not to be more than 100 yards from the north edge of Building 65; on the South, they are not to be past the bottom of the fire escape stairs; on the East they are not to be east of the mid-way point between Buildings 65 and 64; and on the West they are not to be west of the dividing point between Buildings 65 and 66.

VI. ESCAPE

Anyone escaping from the Residential Corrections Center is subject to the charge of escape, which carries the penalty of one (1) year in the Men's Reformatory. Leaving one's work release site or not returning from furlough is also grounds for filing escape.

VII. CONTRABAND

Posted on the main bulletin board, which is located in the lobby of the facility, is a list of contraband. The following items are considered contraband: alcohol, drugs (prescription or otherwise), weapons of any kind, urine containers, unauthorized keys, bullets, candles, incense, institutional tools, heavy food stuffs, hypodermic needles, eye droppers, unauthorized inventory items, office supplies, vinegar, cigarette papers, poker chips, dice (dice should be kept at the front desk), gambling paraphernalia, and silverware. The above list is subject to change at the discretion of the staff. Any resident found with contraband in his room is subject to disciplinary action. Any resident found with drugs, alcohol, weapons, hypodermic needles, or hash pipes on his person is subject to be immediately returned to the Polk County Jail.

VIII. FIGHTING, DRINKING OR USE OF DRUGS

The above are strictly forbidden. Any violation of this rule is reason for immediate return to the Polk County Jail. Due to our inability to determine who started the fight, action must be taken towards all parties involved.

IX. GAMBLING

Gambling is strictly forbidden. Any violation of this rule will result in disciplinary action. The desk counselor may act to break up a game in which he believes gambling is taking place.

X. URINALYSIS AND BREATH TEST

All residents at the Residential Corrections Center are subject to a urinalysis test and/or breath test at the discretion of any staff member. If the test turns out positive or dirty, the resident is subject to disciplinary action at the discretion of the staff. Urinalyses are on a face to face basis.

XI. DINING

The men of the Residential Corrections Center eat at the Pleasantview Alcoholic Center, located in Building 68, Ft. Des Moines. Breakfast is served up to 7:45 a.m. Lunch is served from 11:30 a.m. until 11:45 a.m.; and dinner is served from 5:30 p.m. until 5:45 p.m. The only exceptions to this will be a resident returning from work after the fifteen minute

serving time allowed or who is detained by his counselor. The residents may go to eat only at one of the designated times for each meal, and as a group, accompanied by a staff member. The resident should be out of the dining hall by 12:00 noon and 6:00 p.m. for the respective meals. Each resident must be fully dressed and well groomed. These times are subject to change at the discretion of the Pleasantview staff. Meal tickets are handed out by the desk counselor. Residents are to be next door only at meal times. Food is not to be taken from next door.

XII. SLEEPING SCHEDULE

All residents at the Residential Corrections Center are responsible for being up and ready for working around facility by 8:00 a.m., exception being those who work night shifts. Radios, TVs, Stereos, etc., are to be turned off and residents must not be in each other's rooms after 10:00 p.m. By midnight each resident is to be either in his own individual room or if he wishes to watch the late show he may do so in the lounge area which is located on the main floor of the building. This rule applies seven days a week. While the late movie is on, residents who are watching it are not to be running up and down stairs disrupting those who are trying to sleep. After the late movie ends, each resident is to be in his own room.

XIII. VISITORS

Any person wishing to visit a resident at the Residential Corrections Center must first be approved by that resident's counselor and then be placed on his visiting list. Anyone entering the facility is subject to a shakedown, and must sign a visitors list, which requires that particular person's name, time of arrival, person visiting, relationship and the license number from their car. The resident being visited is responsible for the behavior of his visitors. Female visitors may be required to have their handbags checked at the control desk. All items brought to the facility by visitors will be examined. Contraband items found are subject to seizure. No food is to be brought into the facility by either residents or visitors. Visiting hours are:

Sunday: 1:00 p.m. through 5:00 p.m.
Tuesday)
Thursday) 6:00 p.m. through 9:30 p.m.
Saturday)

For the respect of all visitors, residents are to wear shirts, pants, shoes, etc. Residents and visitors have complained about necking and laying on sofas by visitor and resident. If this occurs, the staff person will ask that they "cool it" and may ask the visitor to leave.

XIV. CONDITION OF ROOMS

All residents at the Residential Corrections Center are responsible for keeping their rooms neat and orderly. Beds are to be made first thing in the morning, clothes are to be hung up, and any room damages are to be reported immediately and repaired. All rooms are subject to daily and routine inspection. Dirty clothing and linen are to be washed. Because of the problem of bugs and rodents, food is not allowed in the rooms.

XV. USE OF PHONES

Telephone booths are provided for the residents at the Residential Corrections Center. There is a 20 minute limit to use of telephones at any one time, and no one is to use the telephones after midnight. No resident may use the office telephones for any reason, except with explicit permission of a staff member.

XVI. MORNING CLEAN UP

No resident will be allowed to watch TV or play any games around the facility until the building has been thoroughly cleaned to the satisfaction of the maintenance supervisor.

XVII. DESK AREA

Residents are not to be behind the desk area. If they wish to get change or are to take medication, they are to have the desk counselor do this. When there is a lot of traffic around the desk area or upon the request of a staff member, the clients will remove themselves from the stairs and front hall.

XVIII. BELONGINGS

Clients are responsible for any belonging they bring into facility. Upon termination of his stay at the facility, the resident must claim all personal property within two weeks. Property not claimed shall be disposed of.

I, _____, have reviewed with _____ ____ the rules. I understand and have received a copy of the rules.

Date_____

A-82

CCF Form 7

STATE OF IOWA
VS.

ORDER TRANSFERRING JAIL SITE
TO THE CORRECTIONAL FACILITY

ORDER

NOW, on this ___ day of _____, 19___, the Court on its own motion pursuant to S.F. 190, Iowa Acts 64th General Assembly (1st Session) finds that the defendant should be transferred from the Polk County Jail to the Correctional Facility in Building 65, Fort Des Moines, which is operated by the Polk County Court Services Department.

IT IS ORDERED that the defendant shall be transferred to said facility at ___ o'clock ___M. on the ___ day of _____, 19___, to serve the balance of his term of confinement.

IT IS FURTHER ORDERED that the defendant shall obey the rules and regulations of said facility. Failure to obey said rules and regulations may be punishable by the Court as contempt of Court (an offense with a maximum punishment of six months imprisonment in the County Jail).

IT IS FURTHER ORDERED that if the defendant violates any rules and regulations of said facility he may, upon hearing, be transferred back to the County Jail to serve the remainder of his original term, plus any additional term of imprisonment invoked for contempt of court.

IT IS FURTHER ORDERED that in the event the defendant, on his own volition, leaves the facility without written order of the Court, he may be charged with escape (an offense with a maximum punishment of five years imprisonment in the State Penitentiary).

Date of original mittimus ___ day of _____, 19___.

_____

Judge

Received a copy of this order this
_____ day of _____, 19___.

_____

COPIES TO:
Fort Des Moines Facility
Polk County Sheriff
County Attorney
Defendant or his Attorney

CCF Form 8, page 1 of 2 EVALUATION CODESHEET A-83

JUSTICE RESEARCH POST-CONVICTION PROGRAM DATA FORM 80274

I.D. NUMBER (Leave Blank) [1 2 3 4 5 6]

Name _____ Last First Middle

DATE CODED: [ ] Month [ ] Day [ ] Year

CODED BY: _____ [7 8 9]

PROGRAM PROCESS

1 PROGRAM I.D. NUMBER [10 11 12 13 14 15]

2 SOCIAL SECURITY NUMBER [ ]

3 TYPES OF ACTIVITIES OR ORGANIZATIONAL INVOLVEMENT [16] [17] [18] [19]

1 Social 6 Professional
2 Athletic 7 Self-improvement
3 Musical 8 Service
4 Religious 9 Other (specify) _____
5 Political

4 NUMBER OF SCHEDULED COUNSELOR-CLIENT CONTACTS WHICH CLIENT FAILED TO KEEP [20 21]

5 NUMBER OF SCHEDULED OUTSIDE CONTACTS WHICH CLIENT FAILED TO KEEP [22 23]

6 NUMBER OF NEW JOB ASSIGNMENTS WITHIN THE PROGRAM [24]

7 NUMBER OF JOB INTERVIEWS [25]

8 NUMBER OF OUTSIDE JOBS HELD [26]

9 NUMBER OF OUTSIDE JOBS OBTAINED THROUGH CLIENT'S OWN EFFORTS [27]

10 NUMBER OF TIMES EMPLOYER TERMINATED (FIRED) CLIENT [28]

11 NUMBER OF WEEKS ON LONGEST-HELD JOB [29 30 31]

12 NUMBER OF WEEKS EMPLOYED [32 33 34]

13 TOTAL TAXABLE INCOME [35 36 37 38 39]

14 NUMBER OF RULE INFRACTIONS FOR WHICH CLIENT WAS DISCIPLINED [40]

15 NUMBER OF TIMES PLACED IN JAIL OR ISOLATION [41]

16 NUMBER OF DAYS SPENT IN JAIL OR ISOLATION [42 43 44]

17 NUMBER OF KNOWN INSTANCES OF ILLEGAL DRUG USE [45]

18 NUMBER OF KNOWN INSTANCES OF EXCESSIVE ALCOHOL USE [46]

19 DID CLIENT RECEIVE ALCOHOL (ANTABUSE, ETC.) TREATMENT? [47]

0 Does not apply
1 No, refused treatment
2 Yes, very reluctantly
3 Yes, somewhat reluctantly
4 Yes, cooperatively

20 DID CLIENT RECEIVE HARD NARCOTIC (METHADONE, ETC.) TREATMENT? [48]

0 Does not apply
1 No, refused treatment
2 Yes, very reluctantly
3 Yes, somewhat reluctantly
4 Yes, cooperatively

21 DID CLIENT ENGAGE IN EDUCATIONAL OR VOCATIONAL PURSUIT? [49]

0 No 3 Yes, Special Trade
1 Yes, High School 4 Yes, College
2 Yes, GED 5 Yes, Other (Specify) _____

22 SERVICES PROVIDED TO CLIENT

KEY:

00 None	05 Lodging	10 Alcohol
01 Employment	06 Financial	11 Medical
02 Education	07 Family	12 Legal
03 Vocational	08 Psychological/Psychiatric	13 Religious
04 Transportation	09 Drugs	19 Other

Type of Service	(Specify Service and by Whom Provided)	Number of Services	Number Provided By Outside Resources
[50 51]	_____	[52]	[53]
[54 55]	_____	[56]	[57]
[58 59]	_____	[60]	[61]
[62 63]	_____	[64]	[65]
[66 67]	_____	[68]	[69]
[70 71]	_____	[72]	[73]

I.D. NUMBER (Leave Blank) [C B] [1 2 3 4 5 6] (79 80)

23 NEW OFFENSE(S) ALLEGED (use offense list) [7 8 9] [10 11 12] [13 14 15]

24 DATE OF FIRST NEW OFFENSE ALLEGATION(S) [16 17] [18 19] [20 21]

PROGRAM OUTCOME

25 DATE OF TERMINATION FROM PROGRAM — Month (22 23) Day (24 25) Year (26 27)

26 TYPE OF RELEASE OR TRANSFER (28 29)

00 Found not guilty, dropped or dismissed
01 Discharged (full sentence served)
02 Discharged (early termination)
03 Revocation for technical reasons
04 Revocation for new offense allegation
05 Interstate transfer (compact)
06 Extradition
07 Death
08 Absconsion/Escape
09 Parole
10 Transfer to jail
11 Transfer to other correctional program
12 Transfer to medical or psychiatric program
13 Transfer to federal authority
14 Enlisted in armed forces
19 Other (specify) _____

27 PROGRAM TRANSFERRED TO: (specify)_____ (30 31 32)

28 COUNTY OF RESIDENCE AFTER RELEASE (33 34)

(01-99; use county code
00 = out of state)

29 MARITAL STATUS AT TIME OF RELEASE (35)

1 Single
2 Married
3 Separated
4 Divorced
5 Widowed
6 Common-law marriage
7 Homosexual alliance
9 Uncodable or other (specify)_____

30 NUMBER OF LEGAL DEPENDENTS AT TIME OF RELEASE (excluding self) (36)

31 NUMBER OF LEGAL DEPENDENTS NOT SUPPORTED FINANCIALLY BY CLIENT AT TIME OF RELEASE (principal or regular support) (37)

32 LIVING ARRANGEMENTS (38)

1 Living alone
2 Living with spouse (and children)
3 Living with child(ren)
4 Living with parent(s)
5 Living with friend(s)
9 Other (specify)_____

33 PUBLIC ASSISTANCE AT TIME OF RELEASE (39)

0 None
1 Self only
2 Dependents only
3 Self and dependents
4 Dependent upon recipient of public assistance

34 EMPLOYMENT AT TIME OF RELEASE (40)

0 Unemployed/Laid off
1 Employed full-time
2 Employed part-time
3 Unemployable due to handicap
9 Uncodable or other (specify)_____

35 WEEKLY INCOME (in dollars) (41 42 43)

36 OCCUPATIONAL LEVEL AT TIME OF RELEASE (44)

0 None
1 Unskilled
2 Semi-skilled
3 Skilled (Trades)
4 Clerical
5 Sales
6 Manager
7 Proprietor
8 Professional
9 Uncodable or other (specify)_____

37 PRIMARY INCOME SOURCE AT TIME OF RELEASE (45)

0 None
1 Own employment
2 Spouse's employment
3 Family
4 Compensation, benefit or retirement
5 Inheritance or investments
6 Public assistance
7 Other individual
9 Uncodable or other (specify)_____

38 STUDENT STATUS AT TIME OF RELEASE (46)

0 Not a student
1 Full-time student
2 Part-time student

39 DIPLOMAS AND DEGREES OBTAINED WHILE A CLIENT OF THIS PROGRAM (47)

0 None
1 High School
2 High School Equivalency (GED)
3 Special Trade
4 Associate of Arts
5 BA/BS
6 MA/MS
9 Uncodable or other (specify)_____

40 WHAT IS THIS CLIENT'S ORIENTATION TOWARDS TASKS WHICH HE/SHE BEGINS? (48)

1 Almost always follows them through to completion
2 Usually follows them through to completion
3 Usually does not follow them through to completion
4 Almost never follows them through to completion

41 THE CLIENT'S OVERALL REACTIONS TO THE PROGRAM HAVE BEEN: (49)

1 Extremely uncooperative
2 Somewhat uncooperative
3 Neither cooperative nor uncooperative
4 Somewhat cooperative
5 Extremely cooperative

42 REGARDLESS OF CASE OUTCOME, THIS CLIENT'S PERSONAL ADJUSTMENT HAS: (50)

1 Deteriorated markedly
2 Deteriorated somewhat
3 Remained unchanged
4 Improved somewhat
5 Improved markedly

43 THE MOST NOTICEABLE AREA OF THE CLIENT'S IMPROVEMENT WAS: (51)

0 None
1 Personal relationships
2 Educational achievement
3 Employment
4 Physical health
5 Mental health
6 Attitude toward society
7 Self-concept
9 Uncodable or other (specify)_____

C C (79 80)

CLIENT FILE FACE SHEET

CLIENT PHOTO

Name_____ Room_____
Home Address_____
Counselor_____ Phone_____
Date In_____ Height_____
Weight_____ Eyes_____
Date of Birth_____ Hair_____
Distinguishing Characteristics_____
_____
Social Security No._____
Education_____ Marital Status_____
Charge_____
Sentencing Judge_____
Discharged to_____

Sentence_____
Attorney_____ Criminal No._____

VISITORS

Name	Address	Relationship	Phone

CCF Form 10

CLIENT FILE CHECKLIST

_____ Face sheet _____ filled out
_____ Correspondence record
_____ Visitors record
_____ Contact Sheet
_____ Court Order
_____ 2 File cards
_____ Name in eye check book
_____ Contract - _____Read over _____Sign
_____ Financial sheet
_____ Grievance form
_____ Request for medical attention
_____ Sign in and out sheet
_____ Work release _____driver's list _____sack lunches
_____ Meal tickets
_____ Room assignment
_____ Personal property list
_____ Institution property list
_____ Voc Rehab interview

Records	Req.	Received
Community Corrections	_____	_____
Pre Trial	_____	_____
Probation	_____	_____
Pre Sentence	_____	_____
FBI	_____	_____
BCI	_____	_____

Resources and Referrals

_____

_____

_____

_____

_____

STATE OF IOWA CRIMINAL NO.

VS.

TRANSFER ORDER FROM FORT DES MOINES

O R D E R

NOW, on this _____ day of _____, 1974, this matter comes before the Court, and the Court being fully advised in the premises, finds that on the _____ day of _____, 1974, the defendant was sentenced to the Fort Des Moines Correctional Facility for a period of _____, that mittimus issued as of _____, that the Director of said Facility now requests the Court to transfer the defendant to the Polk County Jail to serve the remainder of said sentence.

IT IS ORDERED that the defendant shall serve the remainder of his sentence in the Polk County Jail until further order of the Court.

_____
JUDGE OF THE FIFTH JUDICIAL DISTRICT OF IOWA

COPIES TO:

Fort Des Moines Correctional Facility
Defendant or his Attorney

CCF Form 12

CLIENT CONTACT SHEET

Client _____

Date	Counselor	Content of contact--what was done

CLIENT _____

CORRESPONDENCE RECEIVED

DATE	NAME	ADDRESS

CCF Form 14

WORK RELEASE ORDER

IN THE DISTRICT COURT OF THE STATE OF IOWA IN AND FOR POLK COUNTY

STATE OF IOWA	:	CRIMINAL NO:
VS	:	
_____	:	ORDER FOR WORK RELEASE
Defendant	:	

NOW, on this _____ day of _____, 1974, the Court, after being fully advised in the premises, finds that the interest of justice would be better served by allowing the defendant _____, to support his wife and child and pay his own board while in confinement.

IT IS THEREFORE, THE ORDER OF THE COURT that the defendant, _____ _____, should be released from _____ in time to report to his work at _____. His working hours are from _____ to _____. Upon completion of his work, he is to return immediately to the above facility; said work week to consist of _____ days per week, _____ through _____. Travel time should be allowed.

IT IS THE FURTHER ORDER OF THE COURT that the defendant's wages shall be turned over to _____, who in turn shall disburse said wages for the following purposes and in the order stated.

1. The meals of the prisoner.
2. Necessary travel expense to and from work and other incidental expenses of the prisoner.
3. Pay to the defendant's wife support money for herself and child in the amount of $_____ per week plus an additional $_____ per week child support to apply on the arrears.
4. Room and board at the facility, at $_____ per day. Any wages remaining should be paid to the defendant upon his release all as provided for in Section 356.31 of the Code of Iowa.

_____

JUDGE OF THE FIFTH JUDICIAL DISTRICT OF IOWA

SCHOOL RELEASE ORDER

IN THE DISTRICT COURT OF THE STATE OF IOWA IN AND FOR POLK COUNTY

STATE OF IOWA	:	CRIMINAL NO.
VS	:	
_____	:	ORDER FOR SCHOOL RELEASE
Defendant	:	

NOW, on this _____ day of _____, 1974, the Court, after being fully advised in the premises, finds that the interest of justice would be better served by allowing the defendant _____, to further his education while in confinement.

IT IS THEREFORE, THE ORDER OF THE COURT that the defendant, _____ _____, should be released from _____ _____ in time to report to his classes at _____ _____. The hours he will be attending school are from _____ to _____. Upon completion of his classes, he is to return immediately to the above facility; said school days to consist of _____ days per week, _____ and _____. Travel time should be allowed.

IT IS THE FURTHER ORDER OF THE COURT that the defendant's wages shall be turned over to _____, who in turn shall disburse said wages for the following purposes and in the order stated.

1. The meals of the prisoner.
2. Necessary travel expense to and from school and other incidental expenses of the prisoner.
3. Pay to the defendant's wife support money for herself and child in the amount of $_____ per week plus an additional $_____ per week child support to apply on the arrears.
4. Room and board at the facility, at $_____ per day. Any wages remaining should be paid to the defendant upon his release all as provided for in Section 356.31 of the Code of Iowa.

_____
JUDGE OF THE FIFTH JUDICIAL DISTRICT OF IOWA

CCF Form 16

FURLOUGH REQUEST

MEMORANDUM

TO: The Honorable Judge, Wade Clarke

FROM: James Hancock and Gary B. Noel

DATE: September 11, 1974

RE: Furlough request for

We respectfully request a furlough for ---------- so that he may spend time with his family and continue to reintegrate into the community. This furlough will be from 9:00 A.M., September --, 1974 and ending at 2:00 P.M., September --, 1974. --- will be staying at ----------. ------- will be responsible for his own actions.

PROGRAM PERFORMANCE VARIABLES:

1. EMPLOYMENT: ---------- is employed at Edko Manufacturing and is reportedly a good worker. --- has maintained this employment for three (3) months.

2. BUDGET: ---------- is working very well within the structure of a very tight budget. --- with this budget, is making good progress in making restitution and the paying of bills.

3. EDUCATION: ---------- had received a high school education before entering RCS and has no further educational goals at present.

4. OBSERVED BEHAVIOR: ---------- has encountered few behavioral problems since his stay at RCS. --- has been a strong positive influence on the other clients around the facility.

/s/ James Hancock
James Hancock, Director

/s/ A. M. Cutelli
Approved by District Court Judge

Client Release Permission Report

RESIDENTIAL CORRECTIONS SERVICES
Building 65
Fort Des Moines, Iowa

August 20, 1974

NAME	BIRTHDATE	CHARGE	WORK RELEASE	ADDRESS	TIME & D
1.	11-8-55	Receiving & Concealing			
2.	12-3-55	Breaking & Entering	Ryko Mfg.	Bondurant, Ia.	Days & H Vary
3.	5--1-55	Revocation of Probation	Highland Roofing	4594 N.W. 6th	Mon - Fr Hours Va
4.	12-4-47	Possession of a controlled substance			
5.	11-29-52	Possession of a controlled substance	MDTA	2403 Bell	Mon - Fr 8:00 AM-
6.	6-7-56	Breaking & Entering	Don White Sod	5782 2nd Ave.	Mon - Sa 7:00 AM-
7.	3-30-54	Possession of a controlled substance	Grandview Jr. College	E. 9th & Grandview	Mon - Fr 7:00 AM-
8	7-25-54	Breaking & Entering & Larceny over $20.00	Daugherty Transfer	3827 E. Jefferson	Mon - Sa 8:00 PM-
9.	3-14-53	Volunteer	Ricelli's West	West Des Moines	Days & H Vary
10.	8-15-48	Assault w/intent to do great bodily injury	Halston Const.	Burlington, Ia.	Days & H Vary
11.	7-31-55	Malicious damage to Building	King Bole	27th & Carpenter	Mon - Fr 8:00 AM-
			Urban Campus	5th & College	Mon & We 7:00 P,-

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CCF Form 17

Client Release Permission Report

RESIDENTIAL CORRECTIONS SERVICES
Building 65
Fort Des Moines, Iowa

TE	CHARGE	WORK RELEASE	ADDRESS	TIME & DAYS
	Receiving & Concealing			
	Breaking & Entering	Ryko Mfg.	Bondurant, Ia.	Days & Hours Vary
	Revocation of Probation	Highland Roofing	4594 N.W. 6th	Mon - Fri Hours Vary
	Possession of a controlled substance			
2	Possession of a controlled substance	MDTA	2403 Bell	Mon - Fri 8:00 AM-4:00 PM
	Breaking & Entering	Don White Sod	5782 2nd Ave.	Mon - Sat 7:00 AM-12:00 N
	Possession of a controlled substance	Grandview Jr. College	E. 9th & Grandview	Mon - Fri 7:00 AM-12:00 N
	Breaking & Entering & Larceny over $20.00	Daugherty Transfer	3827 E. Jefferson	Mon - Sat 8:00 PM-finish
	Volunteer	Ricelli's West	West Des Moines	Days & Hours Vary
	Assault w/intent to do great bodily injury	Halston Const.	Burlington, Ia.	Days & Hours Vary
	Malicious damage to Building	King Bole	27th & Carpenter	Mon - Fri 8:00 AM-4:30 PM
		Urban Campus	5th & College	Mon & Wed 7:00 P,-9:00 PM

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PETITION FOR PAROLE

MEMORANDUM

TO: The Honorable Judge, Harry Perkins and Polk County Attorney

FROM: James Hancock and Bob Bachman

DATE: August 6, 1974

RE: Probation request for ----------

CHARGE: Possession of a Controlled Substance Count II

SENTENCE: One hundred eighty (180) days Polk County Jail suspended, one (1) year probation Department of Court Services, maximum benefits Ft. Des Moines Correctional Facility.

DATE OF SENTENCE: April --, 1974

CRIMINAL NUMBER: ---------

ATTORNEY: ---------

COMMITTING JUDGE: Honorable, Harry Perkins

REVIEW: ---------- is a 21 year old male who was sentenced to 180 days in the Polk County Jail, suspended, 1 year probation under the Department of Court Services, with maximum benefits at Ft. D.M. Correctional Facility on April --, 1974. This was after having plead guilty to the charge of Possession of a Controlled Substance.

At the time ---------- arrived as a resident of the facility, he was employed at Rovner Sanitary Services as a route driver. He remained there until early June when his driving privileges were revoked. While at Rovner, ---------- was well thought of by his supervisors and considered an excellent employee. They stated that they would gladly rehire ---------- when he got his driver's license back if there was an opening.

---------- began working at Edko Manufacturing on June 26, 1974. He has been employed there since that time and received good work reports from his supervisors. He also recently began working part-time in the evenings for White Knight Disposal.

Mr. ---------- plans to return to school at Area XI in the future in the Industrial Marketing program. He has completed two quarters, but was unable to return because he missed one quarter.

Upon release from our facility, ---------- plans to live with his sister, ----------.

At this time we feel ---------- has received maximum benefits from the facility. We recommend that he be transferred to the Probation Department of Polk County Services, 606 College, at this time. We do feel ---------- should be required to take antabuse at least for a time as a condition of his probation since the majority of his problems stem from drinking.

/s/ James Hancock
James Hancock, Director

/s/ Bob Backman
Bob Bachman, Counselor

/s/ Harry Perkins
Approved by: District Court Judge

/s/ Ray A. Fenton
Polk County Attorney

I, Frank W. Leonhart, Clerk of the District Court of the State of Iowa, in and for Polk County, do hereby certify that this is a true and complete copy of the Original Instrument filed in this office.

IN TESTIMONY WHEREOF, I have hereunto set my hand and affixed the Seal of said Court at my office in Des Moines, Iowa this ..... day of ..... 19.....

FRANK W. LEONHARDT
Clerk of the District Court

by ...../s/ Debbi Kerr..... Deputy

REQUEST FOR DISCHARGE

HAVING BEEN SENTENCED TO _____ DAYS
BEGINNING _____ I HEREBY STATE THAT
I HAVE SERVED _____ DAYS AT P.C. JAIL AND
THE REMAINING _____ DAYS AT FORT DES MOINES
RESIDENTIAL CORRECTIONS AND AM BEING DISCHARGED AT:
_____O'CLOCK ____M on the _____ DAY OF _____, 19___.

_____

LIST OF FORMS

PROGRAM ADMINISTRATION

	PAGE
ADM FORM 1 - EMPLOYMENT APPLICATION	A-97
ADM FORM 2 - DEPARTMENT SALARY SCHEDULE	A-100
ADM FORM 3 - RECORD OF SUPERVISORY STAFF MEETING	A-101
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FIFTH JUDICIAL DISTRICT DEPARTMENT OF COURT SERVICES

EMPLOYMENT APPLICATION

Date:_____
Referred By:_____
Position(s) Applied For:_____
_____
Salary Desired:_____
Date Available:_____

Social Security No.: | | | | | | | | | |

Name: Mr. / Mrs. / Miss _____
First Name Middle Name (Maiden) Last Name

Address:_____
Street City County State Zip

Telephone Number:_____

Name and phone number of person who will know where you may be contacted:
_____

Date of Birth:_____
Month Day Year

Place of Birth:_____

Male ___ Female ___

Single ___ Married ___
Divorced ___ Separated ___
Widowed ___

Spouse's Name_____

Number of Dependents:_____
Ages:_____

Have you ever been discharged or asked to resign from employment?
Yes ___ No ___

Do you have health defects or are you physically handicapped in any way?
Yes ___ No ___

How would you rate your health? Excellent___ Good___ Fair___ Poor___

What is your present occupation?_____

Can you provide your own transportation? Yes ___ No ___
Drivers License? Yes ___ No___
What company carries your liability insurance?_____
Limits _____

Have you ever been convicted of a crime other than minor traffic violations? Yes ___ No ___

EDUCATION

Grammar and High School:
Circle last grade completed: 1 2 3 4 5 6 7 8 9 10 11 12
Name of last school attended:_____
Location:_____
Did you graduate from high school? Yes___ No___ Year:_____
High school equivalency certificate (G.E.D.) Yes___ No___
Course of study: College Prep.___ Secretarial___ Trades___
Other___

Education (Cont.)

Vocational Training (Business, Trades, Technical Military Service)

Name & Location	From Mo.	From Year	To Mo.	To Year	Diploma or Certificate	Subjects Studied
Name						
Location						
Name						
Location						
Name						
Location						

University and College (Undergraduate, Graduate)

Name & Location	From Mo.	From Year	To Mo.	To Year	Major Field & No. of Hrs.	Degree & Year
Name						
Location						
Name						
Location						
Name						
Location						
Name						
Location						

MILITARY SERVICE AND SELECTIVE SERVICE STATUS

Are you a U.S. Veteran? Yes___ No___ Service #_____
In what branch of armed forces did you serve?_____
Did you receive an honorable discharge? _____ If not, please explain._____
What was your rank upon discharge?_____
Selective Service lottery number:_____
Present Selective Service status (classification): _____

OFFICE SKILLS

Shorthand Speed _____ Typing Speed _____ Bookkeeping _____
Dictaphone _____ Switchboard_____
Other Skills:_____
_____

EMPLOYMENT RECORD

(List in reverse order, starting with most recent employment.)

Employer:_____
Address:_____
Kind of Business:_____
Reference:_____
Name Title
Your Title:_____

Employment Dates: From:_____ To:_____
Mo. Year Mo. Year
Salary: Starting _____per month Final _____per month
Your duties:_____
_____
Reason for leaving:_____

Employer:_____
Address:_____
Kind of Business:_____
Reference:_____
Name Title
Your Title:_____

Employment Dates: From:_____ To:_____
Mo. Year Mo. Year
Salary: Starting_____per month Final _____per month
Your duties:_____
_____
Reason for leaving:_____

- 3 -

Employment Record (Cont.)

Employer: _____
Address: _____
Kind of Business: _____
Reference: _____
Name Title
Your Title: _____

Employment Dates: From: _____ To: _____
Mo. Year Mo. Year
Salary: Starting _____ per month Final _____ per month
Your duties: _____
_____
Reason for leaving: _____

Employer: _____
Address: _____
Kind of Business: _____
Reference: _____
Name Title
Your Title: _____

Employment Dates: From: _____ To: _____
Mo. Year Mo. Year
Salary: Starting _____ per month Final _____ per month
Your duties: _____
_____
Reason for leaving: _____

REFERENCES

Other than relatives.

(1) _____
Name Address Phone No. Relationship

(2) _____
Name Address Phone No. Relationship

(3) _____
Name Address Phone No. Relationship

Interviewer's Comments: _____
_____
_____
_____
_____

January 1, 1973

SALARY SCHEDULE

DEPARTMENT OF COURT SERVICES

Department Director	18000	18888	19848	20832	21864	22956
	1500	1574	1654	1736	1822	1913
Division Director	15000	15756	16536	17352	18216	19104
	1250	1313	1378	1446	1518	1592
Asst. Division Director	13008	13656	14328	15048	15792	16584
Asst. to Dept. Director	1084	1138	1194	1254	1316	1382
Case Supervisor	10200	10704	11232	11784	12384	13008
Dietitian	850	892	936	982	1032	1084
Counselor III	10116	10620	11148	11700	12288	12900
	843	885	929	975	1024	1075
Counselor II						
Job Developer	8748	9180	9636	10116	10620	11148
Bookkeeper	729	765	803	843	885	929
Maintenance Foreman						
Counselor I	7560	7932	8340	8748	9180	9636
	630	661	695	729	765	803
Secretary III	6684	7020	7368	7228	8112	8520
	557	585	614	644	676	710
Secretary II	5772	6060	6360	6684	7020	7368
Cook II	481	505	530	557	585	614
Secretary I	4992	5244	5496	5772	6060	6360
Cook I	416	437	458	481	505	530
Trainee II	5700	6000	6300	6600	6900	7200
	475	500	550	575	600	600
Trainee I	4200	4500	4800	5100	5400	5700
	350	375	400	425	450	475
Experienced Part-Time	2.50/hr	2.75	3.00			
Part-Time Temporary	1.60/hr.					

RECORD OF SUPERVISORY STAFF MEETING

Meeting of Supervisory Staff 1-15-74

DISCUSSION & DECISIONS:

1. No action as yet on a "crisis line," but meeting is scheduled and should be some report by next meeting.
2. No further information has been received on progress being made in developing a Juvenile Court program similar to our adult program.
3. Further discussion on reorganization of entire Department. Bernie will draft a memo covering the several alternatives suggested. A special meeting was scheduled for the 18th for further discussion.
4. Discussed jail population and ways to decrease same. Bernie is developing statistics on jail count and will make them available at next meeting.
5. Discussed need in RWS for partitioned areas for counselors to combat noise and confusion when talking to clients.
6. Discussed need for additional space for women and it was noted the County would probably not be interested in funding as they are not responsible for women currently. Bernie will check with County Board and Judges Perkins and Critelli regarding this.
7. Present hiring practices were discussed and changes were recommended.

   Decided a staff member cannot initiate a transfer unless he has been in his present position for at least one year, but Supervisors may transfer at any time for more efficient use of staff.

   Decided to allow only a "one-round" transfer within the Department at a given time.

   Decided the 113 applicants for the immediate counselors positions will be interviewed by Administration staff within near future and from these interviews an eligibility list will be established from which future hiring will be done. Applications will be taken on a continuing basis and names applied to the eligibility list.
8. Staff questioned an earlier reference to "technical assistance" that might be requested from our Department in establishing corrections centers for balance of state. Bernie has nothing definite to report on this.

On-Going Decisions:

1. Supervisors will hold regular staff meetings with counseling staff.
2. Systems in each Division are to be reviewed.
3. Community Correction staff will write PSI's on their clients.
4. Staff transfers within Department are to broaden work experience and are not on a promotional basis.

5. Job assignments are on basis of whole Department not designated "slots" for each Division.
6. Promises of promotions should not be discussed with new employees as they rarely materialize.
7. Supervisors should encourage employees to upgrade education on their own time.
8. When a personal relationship develops between employees, Supervisor must clearly state no evidence of that relationship can be shown during working hours or transfer or resignation will be requested. Supervisor should take action before a relationship reaches a crisis situation that would be potentially embarrassing to the Department.
9. Any staff member that becomes personally involved or dates a client (in any one of the criminal justice systems) is subject to termination.
10. Approval from the Director must be obtained before hiring anyone with a former police record.
11. Any time personnel problems are discussed with Director, person involved must be there.
12. Termination interview will be held by Department Director.
13. Before considering an employee for a particular job, Supervisors are justified in requesting employees to upgrade their education if lacking in a required skill.
14. Employee tours of related programs will be originated in the Administration Office and those participating in them, as well as other conferences, will submit a report for the Rap Sheet.
15. Written requests must be submitted to the Administration Office for all out-of-state business travel.
16. Portal-to-portal mileage claims by staff will not be allowed.
17. Central files must be checked in/out by secretary in the Administration Office.
18. Supervisors are responsible for the following:
    a. Checking and approving time sheets of their staff.
    b. Approving all vacation requests for their staff.
    c. Having their staff contact them personally to report, on or before starting time, any expected absence from work.
    d. Reviewing and approving mileage claims of their staff.
19. Regular clerical staff meetings will be held.
20. Staff members may take 6 working hours each week for additional schooling only on the approval of their Supervisor and if this does not interfere with their work schedule.
21. Counselors may release information on their clients to reliable sources, but access to the files should not be permitted.

22. A staff member cannot initiate a transfer unless he has been in his present position for at least one year, but Supervisors may transfer at any time for more efficient use of staff.

23. Only a "one-round" transfer within the Department at a given time will be allowed. (A staff member may transfer to another Division, but the position left vacant by that transfer must be filled from outside the Department.)

24. Decided, from applications on hand, an eligibility list would be established from which future hiring will be done. Applications will continue to be taken and names added to the eligibility list.

FIFTH JUDICIAL DISTRICT DEPARTMENT OF COURT SERVICES

Final Balance Sheet
1-1-73 to 12-31-73

Cash on Hand										$-11,
Accounts Receivable:										
Community Development									--	
Iowa Crime Commission									--	
Dept. of Social Services									--	
Polk County									--	
City of Des Moines									--	
Iowa Correctional Association									--	
Disbursements:										
	Adminis-tration	Pre-Trial	Community Correct.	Probation	Men's Res.	Women's Res.	Creston Office	Chariton Office	Total	
Personnel	67,105.77	47,135.93	107,293.36	112,223.04	247,315.77	79,619.02	17,891.15	9,966.70	688,548.74	
Pro. Serv.	10,673.66	--	10,653.32	2,466.59	11,478.12	--	135.97	36.00	35,443.66	
Travel	1,065.41	1,121.47	6,043.90	5,728.16	17,148.15	3,168.20	1,895.61	3,055.17	39,226.07	
Office Sup.	1,867.50	793.45	1,849.63	3,255.18	3,768.29	1,037.48	668.71	21.53	13,261.77	
Client Sup.	--	--	--	--	44,183.74	5,034.13	--	--	49,217.87	
Equipment	3,218.17	227.40	1,573.23	1,667.27	3,886.60	1,125.46	65.10	66.75	11,829.98	
Occupancy	4,997.03	397.56	10,590.76	15,550.82	13,375.62	6,792.93	2,622.32	1,225.96	55,553.00	
Grant Adm.	2,600.00	2,075.00	4,150.00	4,550.00	10,000.00	3,150.00	700.00	275.00	27,500.00	
	91,527.54	7,007.56	15,637.76	16,110.32	36,752.56	11,788.69	2,831.05	1,399.60		
		58,756.37	157,791.96	161,551.38	387,908.85	111,715.91	26,809.91	16,046.71	920,581.09	
Evaluation Payment									25,468.00	946,
										$934,
Capital:										
Cash									34,456.55	
Community Development									173,466.00	
Iowa Crime Commission									639,193.06	
Dept. of Social Services									38,453.75	
Polk County									10,945.00	
City of Des Moines									4,500.00	
Iowa Correctional Association									1,300.00	902,
Other Income:										
Clients-Residential Facilities									12,920.90	
Donations									35.00	
CEP (Greater Opportunities)									17,503.55	
Miscellaneous									1,395.54	31,
										$934,

FIFTH JUDICIAL DISTRICT DEPARTMENT OF COURT SERVICES

5-31-74

Final Balance Sheet
1-1-73 to 12-31-73

								$-11,879.74	
							--		
							--		
							--		
							--		
ion							--	00.00	
Trial	Community Correct.	Probation	Men's Res.	Women's Res.	Creston Office	Chariton Office	Total		
33.93	107,293.36	112,223.04	247,315.77	79,619.02	17,891.15	9,966.70	688,548.74		
--	10,653.32	2,466.59	11,478.12	--	135.97	36.00	35,443.66		
21.47	6,043.90	5,728.16	17,148.15	3,168.20	1,895.61	3,055.17	39,226.07		
93.45	1,849.63	3,255.18	3,768.29	1,037.48	668.71	21.53	13,261.77		
--	--	--	44,183.74	5,034.13	--	--	49,217.87		
27.40	1,573.23	1,667.27	3,886.60	1,125.46	65.10	66.75	11,829.98		
97.56	10,590.76	15,550.82	13,375.62	6,792.93	2,622.32	1,225.96	55,553.00		
75.00	4,150.00	4,550.00	10,000.00	3,150.00	700.00	275.00	27,500.00		
07.56	15,637.76	16,110.32	36,752.56	11,788.69	2,831.05	1,399.60			
56.37	157,791.96	161,551.38	387,908.85	111,715.91	26,809.91	16,046.71	920,581.09		
							25,468.00	946,049.09	
								$934,169.35	
							34,456.55		
							173,466.00		
							639,193.06		
							38,453.75		
							10,945.00		
							4,500.00		
ion							1,300.00	902,314.36	
ties							12,920.90		
							35.00		
							17,503.55		
							1,395.54	31,854.99	
								$934,169.35	

ADM Form 4

DCS FILING SYSTEM

01 CORRESPONDENCE

- 010 General
- 011 Division Offices
- 012 Form Letters
- 013 Advisory Board
- 014 Meetings & Conferences
- 015 Bibliographics
- 016 DCS Newsletter

02 CONTRACTS

- 020 Contracts General
- 021 Specific Contracts
- 022 Contract Guides & Regulations
- 023 Contract Proposals
- 024 Progress Reports

03 EQUIPMENT

- 030 Equipment General
- 031 Equipment Inventory
- 032 Equipment Suppliers
- 033 Equipment Bids

04 FISCAL

- 040 Fiscal General
  Fiscal (by Division)
- 041 Travel Permission
- 042 Balance Sheets
- 043 Budget
- 044 Claims Processed
- 0441 Claims Processed
- 0442 Purchase Orders
- 045 Deposit Receipts
- 046 Warrant Register
- 047 Insurance
- 048 Payroll
- 049 Grants

05 OFFICE SPACE

- 051 Lease
- 052 Renovation
- 053 Utilities

06 PERSONNEL

- 060 Personnel General
- 061 Applications
- 062 Staff Personnel File
- 063 Employee Benefits
- 064 Job Specifications
- 0641 Salary Schedule
- 065 Recruitment
- 066 Table of Organization
- 067 Payroll Forms
- 068 Time Sheets
- 069 Staff Memos
- 0691 Staff Training

MONTHLY REPORT: AUGUST, 1974

FIFTH JUDICIAL DISTRICT OF IOWA
DEPARTMENT OF COURT SERVICES
610 College Avenue
Des Moines, Iowa 50314

MEMORANDUM

September 6, 1974

TO: County Board Members
District Court Judges

FROM: Bernard J. Vogelgesang

SUBJECT: Monthly Report, August 1974

Attached are the statistical reports and the financial balance sheet for August, 1974.

Of note is the extremely heavy workload in the Chariton Office which is staffed with a secretary and a single probation officer. There are sixty people under supervision in this area, fifty-four on probation and six on supervised pre-trial release, and during August ten Pre-Sentence Investigations were completed as well. Using the point system established by the National Council on Crime and Delinquency, Mr. Miner, the officer in Chariton, carried a workload of 110 during August while the generally recommended workload is fifty. Some assistance has been given him from Des Moines but perhaps we will have to realign our geographic territories to relieve this inordinately heavy workload.

Using this same system, which is far from perfect, the Polk County Probation Unit is also overloaded, about 25%. However, the number of probationers under supervision declined slightly in August and has been fairly stable for a while so perhaps the Polk County Probation caseload has peaked and is leveling off. In the meantime the workload in the Pre-Sentence Investigation Unit is low, but this unit is only two months old and it is possible, even likely, that the workload there will increase. If it does not we will make adjustments to reduce workloads in other areas.

With a capacity of 53 Ft. Des Moines has had an average daily population of about 51 for the past year, which means it is full most of the time. The much smaller Women's Facility rarely has an empty bed either.

The point of the above is not to complain but rather to point out that perhaps the time has come for us to request some outside assistance. We are constantly being asked to advise, counsel and otherwise assist other agencies of government in the intricacies of developing community based corrections but at this point I think it would be wise to request someone far removed from our operation to take a look at us and advise us on how we might streamline our operation. During September I will look into the possibilities for bringing someone in and will report in the next monthly report as to what is available.

We have made a number of abortive efforts to develop volunteer programs in the Department and I'm happy to report that headway is being made at Ft. Des Moines where nearly 20 volumteers have been recruited and trained by Jo Ann Bamsey. VISTA personnel have been in contact with the probation staff but nothing concrete has developed as yet.

During August we had visitors from Cincinnati, New Orleans, and the Public Broadcasting Service. The latter did a film which will be shown on the National Educational Network sometime next March, April or May as part of a 16-week series on Criminal Justice. Again, I wish to express my thanks to the Court for giving time for the filming.

BJV:adg

FIFTH JUDICIAL DISTRICT
DEPARTMENT OF COURT SERVICES

Month Ending August 30, 1974

ROR	Current Month Polk Co.	Bal. 5A	5B	Year to Date Polk Co.	Bal. 5A	5B
Interviewed	352	16	22	2014	69	197
Released	228	1	10	1305	9	76
Appeared for Trial	173	1	10	937	3	27
Failed to Appear	2	0	0	7	0	1
Bond Revoked	0	0	0	14	0	4
Cases Pending	736*	6*	47*			
RWS						
Released	36	15	4	245	38	44
Appeared for Trial	26	4	2	179	19	33
Failed to Appear	1	0	0	15	0	0
Bond Revoked	6	1	0	46	3	1
Transferred	3	0	0	13	0	1
Active Caseload	81*	21*	16*			
PSI						
PSI's Assigned	27	10	14	190*	56	70*
PSI's Completed	30	10	15	165	54	66
PROBATION						
New Cases	22	6	10	291	52	66
Discharged	20	0	2	181	6	14
Revoked	2	0	0	47	1	4
Transferred	1	0	0	46	4	4
Active Caseload	474*	68*	89*			

Court Costs and Restitution (Year to date)

Collected $18,976.85
Paid Out 12,888.44

RESIDENTIAL SERVICES

	Current Month Men	Women	Year to Date Men	Women
New Cases	23	1	150	18
Paroled	7	1	60	4
Discharged	7	0	43	2
Returned to Jail	5	0	34	1
Transferred	1	0	7	7
Escaped	0	0	13	2
Active Cases	48*	6*		
Work Release	27	4		
Education Release	5	1		
Both	7	0		

*Includes carryover from previous year.

FIFTH JUDICIAL DISTRICT DEPARTMENT OF COURT SERVICES

Balance Sheet - August 31, 1974

Cash on Hand										$ -4,92
Accounts Receivable:										
Iowa Crime Commission									217,281.97	
State of Iowa									--	
Polk County									--	
Community Development									--	217,28
Disbursements:										
	Adminis-tration	ROR	RWS	Probation	PSI	Men's Res.	Women's Res.	Regional Offices	Total	
Personnel	49,141.10	34,624.25	50,005.71	83,074.23	16,141.97	174,553.53	46,493.13	42,949.97	496,983.89	
Travel	766.49	252.43	1,934.74	2,545.46	360.23	12,495.95	1,997.85	3,768.76	24,121.91	
Staff Train.	--	--	--	--	--	146.00	--	--	146.00	
Equipment	715.00	200.00	--	--	669.13	2,175.38	--	130.04	3,889.55	
Office Sup.	945.13	390.28	751.52	1,246.94	323.20	1,690.41	343.86	921.03	6,612.37	
Occupancy	2,750.57	246.41	4,024.70	5,392.16	1,306.05	11,610.52	4,523.75	4,210.89	34,065.05	
Client Sup.	--	--	4,144.43	708.78	34.88	29,722.67	2,127.95	69.79	36,808.50	
Grant Adm.	1,012.50	787.50	1,125.00	1,575.00	450.00	4,275.00	1,012.50	1,012.50	11,250.00	
Admin.	55,330.79	4,615.47	6,602.16	9,320.33	1,494.63	21,894.48	5,240.30	6,163.42		
		41,116.34	68,588.26	103,862.90	20,780.09	258,563.94	61,739.34	59,226.40	613,877.27	613,87
										$826,22
Accounts Payable										8,66
Capital:										
Deficit									-11,879.74	
Iowa Crime Commission									608,872.00	
State of Iowa									198,972.00	
Polk County									10,000.00	
Community Development									--	805,96
Other Income:										
Clients - Residential Facilities									9,911.38	
Vending Machines									1,665.22	
Donations									21.35	11,59
										$826,22

FIFTH JUDICIAL DISTRICT DEPARTMENT OF COURT SERVICES

Balance Sheet - August 31, 1974

								$ -4,929.90
							217,281.97	
							--	
							--	217,281.97
ROR	RWS	Probation	PSI	Men's Res.	Women's Res.	Regional Offices	Total	
624.25	50,005.71	83,074.23	16,141.97	174,553.53	46,493.13	42,949.97	496,983.89	
252.43	1,934.74	2,545.46	360.23	12,495.95	1,997.85	3,768.76	24,121.91	
--	--	--	--	146.00	--	--	146.00	
200.00	--	--	669.13	2,175.38	--	130.04	3,889.55	
390.28	751.52	1,246.94	323.20	1,690.41	343.86	921.03	6,612.37	
246.41	4,024.70	5,392.16	1,306.05	11,610.52	4,523.75	4,210.89	34,065.05	
--	4,144.43	708.78	34.88	29,722.67	2,127.95	69.79	36,808.50	
787.50	1,125.00	1,575.00	450.00	4,275.00	1,012.50	1,012.50	11,250.00	
615.47	6,602.16	9,320.33	1,494.63	21,894.48	5,240.30	6,163.42		
,116.34	68,588.26	103,862.90	20,780.09	258,563.94	61,739.34	59,226.40	613,877.27	613,877.27
								$826,229.34
								8,667.13
							-11,879.74	
							608,872.00	
							198,972.00	
							10,000.00	
							--	805,964.26
lities							9,911.38	
							1,665.22	
							21.35	11,597.95
								$826,229.34

FIFTH JUDICIAL DISTRICT OF IOWA
DEPARTMENT OF COURT SERVICES
MONTHLY PROGRESS REPORT

DIVISION DES MOINES MONTH ENDING August 30, 1974

CLIENT INTAKE INFORMATION:

	Sex - Race						Ages under				Marital Status				Education				CLIENT TOTAL	
	Male			Female															CURRENT MONTH	CURRENT YEAR TO DATE
	B	W	O	B	W	O	21	26	36	O	S	M	D	O	D-O	GED	HS	HE		
ROR	24	164	3	11	24	2	98	59	38	33	107	65	32	24	87	12	86	43	228	
	143	899	7	60	194	2	605	273	237	190	648	391	164	102	482	64	513	246		1305
																			Plus*	389
																				1694
RW/S	5	30	0	0	1	0	15	8	8	5	17	8	10	1	17	4	12	3	36	
	68	151	2	13	11	0	90	57	57	41	105	67	52	21	111	26	87	21		245
																			Plus*	89
																				334
PRO.	1	19	0	0	2	0	11	5	4	2	11	9	1	1	11	2	7	2	22	
	35	206	2	11	35	2	127	88	48	28	154	79	38	20	134	14	106	37		291
																			Plus*	457
																				748

PRE-TRIAL INTERVIEWS -	352	2014
PRE-SENTENCE INVESTIGATIONS: Ordered - - - - - - - - - - -	27	191 +9*
Completed - - - - - - - - - - -	30	165
Pending - - - - - - - - - - - -	25	

CASE DISPOSITION INFORMATION:

	APPEARED FOR TRIAL	BOND REVOKED		TRANSFERRED		DISCHARGED		
		Failed to Appear	Other	Temp.	Perm.			
ROR	173	2	0				175	
	937	7	14					958
RW/S	26	1	6	1	2		36	
	179	15	46	4	9			253
PRO.			2		1	20	23	
			47	23	23	181		274

TOTAL ACTIVE CASELOAD:
(Total Client Intake Current Year Less Total Case Disposition Current Year)

RELEASE ON RECOGNIZANCE	736
RELEASE WITH SERVICE	81
PROBATION	474

*Carryover of active cases from previous year

FIFTH JUDICIAL DISTRICT OF IOWA
DEPARTMENT OF COURT SERVICES
MONTHLY PROGRESS REPORT

DIVISION Des Moines Residential Services MONTH ENDING August 30, 1974

CLIENT INTAKE INFORMATION:

Sex - Race						Ages under				Marital Status				Education				CLIENT TOTAL	
Male			Female															CURRENT MONTH	CURRENT YEAR TO DATE
B	W	O	B	W	O	21	26	36	O	S	M	D	O	D-O	GED	HS	HE		
0	22	1				14	5	3	1	15	5	3	0	12	3	5	3	23	
34	113	3				64	47	21	18	87	28	28	7	79	24	33	14		150
																		Plus*	55
																			205
			0	1	0	0	1	0	0	0	0	1	0	0	1	0	0	1	
			7	10	1	6	8	2	2	8	2	2	6	10	1	2	5		18
																		Plus*	4
																			22

CASE DISPOSITION INFORMATION:

	PAROLED	DISCHARGED	RETURNED TO JAIL	TRANSFERRED		ESCAPED		
				Temp.	Perm.			
Men	7	7	5		1		20	
	60	43	34		7	13		157
Women	1	0	0	0	0	0	1	
	4	2	1	1	6	2		16

TOTAL ACTIVE CASELOAD:

Men 48

Women 6

CASELOAD ACTIVITY:

27 Work Release
5 Education Release
7 Work & Education Release

4 Work Release
1 Education Release
0 Work & Education Release

*Carryover of active cases from previous year

FIFTH JUDICIAL DISTRICT OF IOWA
DEPARTMENT OF COURT SERVICES
MONTHLY PROGRESS REPORT

DIVISION 5 A Regional Office MONTH ENDING August 30, 1974

CLIENT INTAKE INFORMATION:

	Sex -- Race: Male B	Male W	Male O	Female B	Female W	Female O	Ages under 21	Ages under 26	Ages under 36	Ages under O	Marital Status S	Marital Status M	Marital Status D	Marital Status O	Education D-O	Education GED	Education HS	Education HE	CLIENT TOTAL: CURRENT MONTH	CLIENT TOTAL: CURRENT YEAR TO DATE
ROR		1						1						1			1		1	
		8			1			7		2	1			8			7	2		9
																			Plus*	0
																				9
RW/S		11			4		7	6	2		9	4	1	1	4	0	8	3	15	
	1	33			4		11	16	7	4	17	17	2	2	15	2	17	4		38
																			Plus*	5
																				43
PRO.	6						2	2	2		2	4			3		3		6	
	44				8		26	12	13	1	16	27	9		20	2	24	6		52
																			Plus*	27
																				79

	CURRENT MONTH	CURRENT YEAR TO DATE
PRE-TRIAL INTERVIEWS	16	69
PRE-SENTENCE INVESTIGATIONS: Ordered	10	56
Completed	10	54
Pending	2	

CASE DISPOSITION INFORMATION:

	APPEARED FOR TRIAL	BOND REVOKED: Failed to Appear	BOND REVOKED: Other	TRANSFERRED: Temp.	TRANSFERRED: Perm.	DISCHARGED		
ROR	1						1	
	3							3
RW/S	4		1				5	
	19		3					22
PRO.								
			1	1	3	6		11

TOTAL ACTIVE CASELOAD:
(Total Client Intake Current Year Less Total Case Disposition Current Year)

RELEASE ON RECOGNIZANCE	6
RELEASE WITH SERVICE	21
PROBATION	68

*Carryover of active cases from previous year

FIFTH JUDICIAL DISTRICT OF IOWA
DEPARTMENT OF COURT SERVICES
MONTHLY PROGRESS REPORT

DIVISION CHARITON REGIONAL OFFICE MONTH ENDING August 30, 1974

CLIENT INTAKE INFORMATION:

	Sex -- Race: Male B	Male W	Male O	Female B	Female W	Female O	Ages under: 21	26	36	O	Marital Status: S	M	D	O	Education: D-O	GED	HS	HE	CLIENT TOTAL: CURRENT MONTH	CURRENT YEAR TO DATE
ROR		3			1		3		1		3		1		2		2		4	
		16			3		11	2	2	4	9	4	5	1	10		7		2	19
																			Plus*	
RW/S																			0	
		28			2		22	4	2	2	23	5		2	11		18	1		30
																			Plus*	3
																				33
PRO.		4			1		2	2	1		3	1	1		1	1	3		5	
		38			3		22	11	6	2	21	14	6		19	2	13	7		41
																			Plus*	25
																				66

	CLIENT TOTAL: CURRENT MONTH	CURRENT YEAR TO DATE
PRE-TRIAL INTERVIEWS	9	106
PRE-SENTENCE INVESTIGATIONS: Ordered	7	35
Completed	10	35
Pending	0	

CASE DISPOSITION INFORMATION:

	APPEARED FOR TRIAL	BOND REVOKED: Failed to Appear	BOND REVOKED: Other	TRANSFERRED: Temp.	TRANSFERRED: Perm.	DISCHARGED		
ROR							0	
	1		1		1			3
RW/S	1						1	
	27							27
PRO.						2	2	
			4		3	5		12

TOTAL ACTIVE CASELOAD:
(Total Client Intake Current Year Less Total Case Disposition Current Year)

RELEASE ON RECOGNIZANCE	16
RELEASE WITH SERVICE	6
PROBATION	54

*Carryover of active cases from previous year

FIFTH JUDICIAL DISTRICT OF IOWA
DEPARTMENT OF COURT SERVICES
MONTHLY PROGRESS REPORT

DIVISION CRESTON REGIONAL OFFICE MONTH ENDING August 30, 1974

CLIENT INTAKE INFORMATION:

	Sex -- Race						Ages under				Marital Status				Education				CLIENT TOTAL	
	Male			Female															CURRENT MONTH	CURRENT YEAR TO DATE
	B	W	O	B	W	O	21	26	36	O	S	M	D	O	D-O	GED	HS	HE		
ROR		5			1			5		1	1	4	1		3		3		6	
		46			11		22	15	9	11	21	25	9	2	22	6	25	4		57
																			Plus*	14
																				71
RW/S		4					2	1		1	2	1	1		1		2	1	4	
		11			3		3	4	5	2	7	2	3	2	7	2	3	2		14
																			Plus*	4
																				18
PRO.		5					3			2	3	1	1		2		2	1	5	
		24			1		16	5	2	2	17	7	1		11		13	1		25
																			Plus*	20
																				45

PRE-TRIAL INTERVIEWS	13	91
PRE-SENTENCE INVESTIGATIONS: Ordered	7	32 +3*
Completed	5	31
Pending	4	

CASE DISPOSITION INFORMATION:

	APPEARED FOR TRIAL	BOND REVOKED		TRANSFERRED		DISCHARGED		
		Failed to Appear	Other	Temp.	Perm.			
ROR	10				1	9	20	
	26	1	3		1	9		40
RW/S	1						1	
	6		1		1			8
PRO.							0	
					1	9		10

TOTAL ACTIVE CASELOAD:
(Total Client Intake Current Year Less Total Case Disposition Current Year)

RELEASE ON RECOGNIZANCE	31
RELEASE WITH SERVICE	10
PROBATION	35

*Carryover of active cases from previous year

YEAR END REPORT: DECEMBER, 1973

FIFTH JUDICIAL DISTRICT OF IOWA
DEPARTMENT OF COURT SERVICES
610 College Avenue
Des Moines, Iowa 50314

MEMORANDUM

January 3, 1974

TO: All County Board Members
District Court Judges

FROM: Bernard J. Vogelgesang

SUBJECT: Monthly Report for December 1973

Attached are the monthly financial statement and statistical reports for the month of December, 1973.

We had our usual high complement of visitors during December. Visitors came from Sacramento; Bloomington, Ind.; Denver, Colo.; and Lincoln and Omaha, Nebraska. In addition, the National Institute of Law Enforcement and Criminal Justice had a photographer and writer in town to do a training film on our department. The film is to be shown to all State Planning Agency Directors and to all regional LEAA staff with a goal of replicating the Fifth District system in at least one city in each of the LEAA regions by the end of 1974.

ABC-TV News also spent a couple of days here in December. They are doing an hour-long documentary on female offenders which will be shown in February. They were principally interested in the pre-trial programs for women. This one worries me a little since they shot a few hours of film and audio and will certainly not show more than a few minutes, if any. It will be interesting to see what happens to us after a major job of editing.

We have three visits already scheduled for January. On the 7th and 8th there will be two people here from the Georgetown University Law Center as well as one person from Tulsa, Oklahoma. On January 16, the Budget Committee of the Nebraska State Legislature will be in town to look at the program.

The system for allocating state funds for the support of community based corrections statewide was finalized on December 27th. We are being required to raise $73,000.00 in local funds. Since the county budget was completed on August 31, and since the millage levy has been established and certified by the State Comptroller, there is virtually no possibility of obtaining additional county monies. CDA funds are also nearly exhausted. As a result, we have submitted a budget covering only a nine month period, from January 1, 1974 through September 30, 1974. Once we figure out how to get through the last quarter of 1974 the state projections show us funded through fiscal 1978. The projections developed by the state are really quite well done. The problem is that we received them only four days before the expiration of our current funding period and we did not anticipate being required to raise significant local funds.

We continue to have more than 1,000 people active in our various units on any given day. Senate File 26, which requires formal restitution plans and PSI's in all felony cases, is increasing our workload. During January we will add two people to our probation staff and will transfer one counselor from release with service to probation. This will once again work us out of office space. During January we will also add one counselor in the rural areas to assist in Elective District 5A. With these additions we hope to free one staff member to begin working on the development of volunteers in probation.

We are currently analyzing the population of the jail for the past year to determine if there are any means through which the population could be reduced to meet public health requirements. We will have a statistical report available by January 20 and we will send this to both the Board and the Court. We will appreciate any ideas as to methods for alternate means of handling the situation.

We have met with juvenile court personnel about developing job readiness and job placement programs for older juveniles. They have conducted a survey of their caseload and we have checked on the ten people we received at Ft. Des Moines prior to their eighteenth birthday and found that six are already at Anamosa or Ft. Madison. Our staff is of the opinion that these younger people require a more rigid structure and a smaller population if a residential program is to be used. At any rate, almost no alternative for older juveniles could do less well than we have done.

BJV:adg

FIFTH JUDICIAL DISTRICT DEPARTMENT OF COURT SERVICES

Balance Sheet - December 31, 1973

Cash on Hand			$ 4,
Cash Accounts Receivable: (1972-73)			
Community Development		11,409.00	
Iowa Crime Commission		4,612.50	
Dept. of Social Services		—	
Polk County		—	
City of Des Moines		—	
Iowa Correctional Association		—	16,

Disbursements:

	Administration	Pre-Trial	Community Correct.	Probation	Men's Res.	Women's Res.	Creston Office	Chariton Office	Total	
Personnel	66,741.22	46,927.66	106,617.04	111,521.52	246,004.47	79,151.35	17,799.42	9,768.75	684,531.43	
Pro. Serv.	10,673.66	—	9,702.70	1,999.71	10,225.62	—	135.97	36.00	32,773.66	
Travel	1,055.61	1,056.17	5,658.14	5,222.62	14,237.61	2,737.48	1,823.81	2,875.64	34,667.08	
Office Sup.	1,793.24	781.00	1,622.59	2,950.54	3,523.93	1,015.76	639.36	21.53	12,347.95	
Client Sup.	—	—	—	—	35,675.73	4,123.81	—	—	39,799.54	
Equipment	3,218.17	227.40	474.58	1,396.67	3,297.60	1,125.46	65.10	66.75	9,871.73	
Occupancy	4,558.38	369.73	9,217.11	14,490.49	10,762.52	6,282.38	2,451.90	1,100.76	49,233.27	
Grant Adm.	2,600.00	2,075.00	4,150.00	4,550.00	10,000.00	3,150.00	700.00	275.00	27,500.00	
Admin.	90,640.28	6,940.96	15,469.18	15,941.74	36,424.27	11,677.83	2,802.94	1,383.36		
		58,377.92	152,911.34	158,073.29	370,151.75	109,264.07	26,418.50	15,527.79	890,724.66	
Disbursements - 1972									770,874.95	
Evaluation Payment									32,085.00	1,693,
										$1,713,
Accounts Payable										2,
Cash Capital: (1972-73)										
Community Development									405,418.87	
Iowa Crime Commission									1,110,816.69	
Dept. of Social Services									96,280.80	
Polk County									20,000.00	
City of Des Moines									13,500.00	
Iowa Correctional Association									1,300.00	1,647,
Other Income: (1972-73)										
Clients - Residential Facilities									23,913.60	
Donations									1,636.29	
CEP (Greater Opportunities)									36,829.94	
Miscellaneous									1,395.54	63,
										$1,713,

FIFTH JUDICIAL DISTRICT DEPARTMENT OF COURT SERVICES

Balance Sheet - December 31, 1973

								$ 4,264.34
3)							11,409.00	
							4,612.50	
								16,021.50
ial	Community Correct.	Probation	Men's Res.	Women's Res.	Creston Office	Chariton Office	Total	
.66	106,617.04	111,521.52	246,004.47	79,151.35	17,799.42	9,768.75	684,531.43	
	9,702.70	1,999.71	10,225.62	—	135.97	36.00	32,773.66	
.17	5,658.14	5,222.62	14,237.61	2,737.48	1,823.81	2,875.64	34,667.08	
00	1,622.59	2,950.54	3,523.93	1,015.76	639.36	21.53	12,347.95	
	—	—	35,675.73	4,123.81	—	—	39,799.54	
.40	474.58	1,396.67	3,297.60	1,125.46	65.10	66.75	9,871.73	
.73	9,217.11	14,490.49	10,762.52	6,282.38	2,451.90	1,100.76	49,233.27	
.00	4,150.00	4,550.00	10,000.00	3,150.00	700.00	275.00	27,500.00	
.96	15,469.18	15,941.74	36,424.27	11,677.83	2,802.94	1,383.36		
.92	152,911.34	158,073.29	370,151.75	109,264.07	26,418.50	15,527.79	890,724.66	
							770,874.95	
							32,085.00	1,693,684.61
								$1,713,970.45
								2,878.72
							405,418.87	
							1,110,816.69	
							96,280.80	
							20,000.00	
							13,500.00	
							1,300.00	1,647,316.36
							23,913.60	
							1,636.29	
							36,829.94	
							1,395.54	63,775.37
								$1,713,970.45

FIFTH JUDICIAL DISTRICT
DEPARTMENT OF COURT SERVICES

Month Ending December 31, 1973

RELEASE ON RECOGNIZANCE

	Current Month			Year to Date		
	Polk Co.	Bal. 5A	5B	Polk Co.	Bal. 5A	5B
Interviewed	173	8	15	2312	38	139
Released	81	1	6	1133	3	46
Appeared for Trial	60	1	1	1084	3	25
Failed to Appear	0	0	0	9	0	1
Bond Revoked	0	0	0	0	0	0
Cases Pending	389*	0*	14*			

RELEASE WITH SERVICE

	Current Month			Year to Date		
	Polk Co.	Bal. 5A	5B	Polk Co.	Bal. 5A	5B
Released	29	3	3	303	18	25
Appeared for Trial	15	1	1	231	11	13
Failed to Appear	0	0	0	5	0	0
Bond Revoked	3	1	0	48	2	2
Transferred	0	0	1	0	0	3
Active Caseload	94*	5*	7*			

PROBATION

	Current Month			Year to Date		
	Polk Co.	Bal. 5A	5B	Polk Co.	Bal. 5A	5A
PSI's Assigned	18	12	4	252	25	46
PSI's Completed	20	5	3	245	18	43
New Cases	30	10	5	429	30	53
Discharged	25	1	1	233	2	16
Revoked	1	0	0	32	0	2
Transferred	1	1	0	78	1	2
Active Caseload	427*	27*	45*			

RESIDENTIAL SERVICES

	Current Month		Year to Date	
	Men	Women	Men	Women
New Cases	16	2	183	23
Paroled	4	1	29	11
Discharged	4	1	72	7
Returned to Jail	6	0	46	0
Transferred	0	0	4	3
Escaped	1	0	19	2
Active Cases	57*	4*		
Work Release	32	2		
Education Release	2	0		
Both	4	0		

*Includes carryover from previous year.

FIFTH JUDICIAL DISTRICT OF IOWA
DEPARTMENT OF COURT SERVICES
MONTHLY PROGRESS REPORT

DIVISION DES MOINES MONTH ENDING December 31, 1973

CLIENT INTAKE INFORMATION:

	Sex — Race						Ages under				Marital Status				Education				CLIENT TOTAL	
	Male			Female															CURRENT MONTH	CURRENT YEAR TO DATE
	B	W	O	B	W	O	21	26	36	O	S	M	D	O	D-O	GED	HS	HE		
ROR	14	43	2	6	16	0	33	17	20	11	36	23	15	7	22	3	41	15	81	
																				1133
																			Plus*	349
																				1482
RW/S	12	10	1	3	3	0	9	10	5	5	16	8	4	1	13	1	11	4	29	
	86	167	4	21	24	1	91	96	63	53	131	78	58	36	135	44	92	32		303
																			Plus*	75
																				378
PRO.	2	22	0	1	5	0	14	13	2	1	21	7	1	1	10	2	11	7	30	
	48	299	2	22	58	0	147	150	86	46	229	111	65	24	174	49	168	38		429
																			Plus*	341
																				770

PRE-TRIAL INTERVIEWS	173	2312
PRE-SENTENCE INVESTIGATIONS: Ordered	18	252 +
Completed	20	245
Pending	14	

CASE DISPOSITION INFORMATION:

	APPEARED FOR TRIAL	BOND REVOKED		TRANSFERRED		DISCHARGED		
		Failed to Appear	Other	Temp.	Perm.			
ROR	50	0					60	
	1084	9						1093
RW/S	15	0	3				18	
	231	5	48					284
PRO.			1		1	25	27	
			32	51	27	233		343

TOTAL ACTIVE CASELOAD:
(Total Client Intake Current Year Less Total Case Disposition Current Year)

RELEASE ON RECOGNIZANCE	389
RELEASE WITH SERVICE	94
PROBATION	427

*Carryover of active cases from previous year

FIFTH JUDICIAL DISTRICT OF IOWA
DEPARTMENT OF COURT SERVICES
MONTHLY PROGRESS REPORT

DIVISION Des Moines Residential Services MONTH ENDING December 31, 1973

CLIENT INTAKE INFORMATION:

Sex — Race						Ages under				Marital Status				Education				CLIENT TOTAL	
Male			Female															CURRENT MONTH	CURRENT YEAR TO DATE
B	W	O	B	W	O	21	26	36	O	S	M	D	O	D-O	GED	HS	HE		
1	15	0				12	4	0	0	14	2	0	0	11	4	1	0	16	
63	106	14				73	57	35	18	107	40	29	7	114	19	34	16		183
																		Plus*	44
																			227
			1	1	0	0	1	1	0	1	1	0	0	1	0	1	0	2	
			11	11	1	5	13	4	1	14	2	4	3	9	1	9	4		23
																		Plus*	4
																			27

CASE DISPOSITION INFORMATION:

	PAROLED	DISCHARGED	RETURNED TO JAIL	TRANSFERRED		ESCAPED		
				Temp.	Perm.			
Men	4	4	6			1	15	
	29	72	46	0	4	19		170
Women	1	1	0	0	0	0	2	
	11	7	0	0	3	2		23

TOTAL ACTIVE CASELOAD:

Men 57

Women 4

CASELOAD ACTIVITY

32 Work Release
2 Education Release
4 Work & Education Release

2 Work Release
0 Education Release
0 Work & Education Release

* Carryover of active cases from previous year

FIFTH JUDICIAL DISTRICT OF IOWA
DEPARTMENT OF COURT SERVICES
MONTHLY PROGRESS REPORT

DIVISION 5A (Other than Polk County) MONTH ENDING December 31, 1974

CLIENT INTAKE INFORMATION:

	Sex -- Race						Ages under				Marital Status				Education				CLIENT TOTAL	
	Male			Female															CURRENT MONTH	CURRENT YEAR TO DATE
	B	W	O	B	W	O	21	26	36	O	S	M	D	O	D-O	GED	HS	HE		
ROR		1					1				1							1	1	
		3					3				3				1		1	1		3
																			Plus*	0
																				3
RW/S		3					3				3				2		1		3	
		16			2		6	7	4	1	9	5	3	1	12		3	3		18
																			Plus*	0
																				18
PRO.		8			2		1	3	4	2	4	5	1		4	1	3	2		
		25			5		9	10	6	5	16	11	3		14	2	11	3		30
																			Plus*	0
																				30

PRE-TRIAL INTERVIEWS - - - - - - - - - - - - - - - - - - 8 38

PRE-SENTENCE INVESTIGATIONS: Ordered - - - - - - - - 12 25
Completed - - - - - - - - 5 18
Pending - - - - - - - - 7

CASE DISPOSITION INFORMATION:

	APPEARED FOR TRIAL	BOND REVOKED		TRANSFERRED		DISCHARGED		
		Failed to Appear	Other	Temp.	Perm.			
ROR	1						1	
	3							3
RW/S	1		1				2	
	11		2					13
PRO.					1	1	2	
					1	2		3

TOTAL ACTIVE CASELOAD:
(Total Client Intake Current Year Less Total Case Disposition Current Year)

RELEASE ON RECOGNIZANCE 0
RELEASE WITH SERVICE 5
PROBATION 27

*Carryover of active cases from previous year

FIFTH JUDICIAL DISTRICT OF IOWA
DEPARTMENT OF COURT SERVICES
MONTHLY PROGRESS REPORT

DIVISION CHARITON REGIONAL OFFICE MONTH ENDING December 31, 1973

CLIENT INTAKE INFORMATION:

	Sex -- Race: Male B	Male W	Male O	Female B	Female W	Female O	Ages under: 21	26	36	O	Marital Status: S	M	D	O	Education: D-O	GED	HS	HE	CLIENT TOTAL: CURRENT MONTH	CURRENT YEAR TO DATE
ROR		16			1		9	3		5	7	6	2	2	4		10	3	0	
																			Plus*	17
																				0
																				17
RW/S		11					8	1	2		9	2			9		2			11
																			Plus*	0
																				11
PRO.		1					1				1						1		1	
		29			1		16	6	3	5	13	11	6		12	1	14	3		30
																			Plus*	4
																				34

PRE-TRIAL INTERVIEWS - - - - - - - - - - - - - - - - - - 4 / 76

PRE-SENTENCE INVESTIGATIONS: Ordered - - - - - - - - 0 / 23
Completed - - - - - - - - 0 / 23
Pending - - - - - - - - 0

CASE DISPOSITION INFORMATION:

	APPEARED FOR TRIAL	BOND REVOKED: Failed to Appear	BOND REVOKED: Other	TRANSFERRED: Temp.	TRANSFERRED: Perm.	DISCHARGED		
ROR							0	
	12		5					17
RW/S							0	
	7		1					8
PRO.							0	
			2			7		9

TOTAL ACTIVE CASELOAD:
(Total Client Intake Current Year Less Total Case Disposition Current Year)

RELEASE ON RECOGNIZANCE 0
RELEASE WITH SERVICE 3
PROBATION 25

*Carryover of active cases from previous year

FIFTH JUDICIAL DISTRICT OF IOWA
DEPARTMENT OF COURT SERVICES
MONTHLY PROGRESS REPORT

DIVISION CRESTON REGIONAL OFFICE MONTH ENDING December 31, 1973

CLIENT INTAKE INFORMATION:

	Sex -- Race						Ages under				Marital Status				Education				CLIENT TOTAL	
	Male			Female															CURRENT MONTH	CURRENT YEAR TO DATE
	B	W	O	B	W	O	21	26	36	O	S	M	D	O	D-O	GED	HS	HE		
ROR		6					3	2		1	4	1	1		1	1	4		6	
		29					9	5	4	11	11	14	4	0	12	1	13	3		29
																			Plus*	1
																				30
RW/S		3					3				3				1		2		3	
	1	12			1		5	3	4	4	9	2	3		5	1	7	1		14
																			Plus*	0
																				14
PRO.		3			1		1	1		2	2	1		1	2		2		4	
		22			1		9	3	4	7	12	8	2	1	10	2	7	4		23
																			Plus*	8
																				31

PRE-TRIAL INTERVIEWS - - - - - - - - - - - - - - - - - - 11 63

PRE-SENTENCE INVESTIGATIONS: Ordered - - - - - - - - 4 23
Completed - - - - - - - - 3 20
Pending - - - - - - - - 3

CASE DISPOSITION INFORMATION:

	APPEARED FOR TRIAL	BOND REVOKED		TRANSFERRED		DISCHARGED		
		Failed to Appear	Other	Temp.	Perm.			
ROR	1	0	2	0	0		3	
	13	1	2	0	0			16
RW/S	1	0	0	1	0		2	
	6	0	1	1	2			10
PRO.						1	1	
					2	9		11

TOTAL ACTIVE CASELOAD:
(Total Client Intake Current Year Less Total Case Disposition Current Year)

RELEASE ON RECOGNIZANCE	14
RELEASE WITH SERVICE	4
PROBATION	20

*Carryover of active cases from previous year

RELEVANT LEGISLATION AFFECTING THE DES MOINES COMMUNITY CORRECTIONS PROGRAM

	PAGE
LEGIS 1 - Legislation authorizing release on own recognizance and supervised release activities (§763.5-§765 Iowa Codes)	A-125
LEGIS 2 - Legislation relating to probation and restitution by probationers (Senate File 26, effective July 1, 1974)	A-130
LEGIS 3 - Legislation relating to the establishment statewide of community-based correctional programs and services (Senate File 482, 1973)	A-142
LEGIS 4 - Legislation appropriating funds for establishing community-based correctional programs and services (Senate File 511, 1973)	A-144
LEGIS 5 - Legislation authorizing Fort Des Moines type facilities in Iowa (Chapter 356A, Iowa Codes)	A-145

LEGISLATION AUTHORIZING RELEASE ON OWN RECOGNIZANCE AND SUPERVISED RELEASE

763.15 Discharge of defendant. Upon the allowance of bail and the execution of the undertaking, the court, clerk, or magistrate must make an order, signed officially, for the discharge of the defendant, to the following effect:

The State of Iowa,

To the sheriff of the county of .....:

C..... D....., who is detained by you on commitment (or indictment or conviction, as the case may be) for the offense of (here designate it generally), having given sufficient bail to answer the same, you are commanded forthwith to discharge him from custody.

Dated at ....., in the township (town or city) of ....., in the county of ....., this .... day of ....., A.D. .....

K..... L..... (with official title).

[C51, §3225; R60, §4974; C73, §4580; C97, §5511; C24, 27, 31, 35, 39, §13623; C46, 50, 54, 58, 62, 66, 71, §763.15]

763.16 Disallowance. If the bail be disallowed, the defendant must be detained in custody until other bail is put in and justified.

[C51, §3226; R60, §4975; C73, §4581; C97, §5512; C24, 27, 31, 35, 39, §13624; C46, 50, 54, 58, 62, 66, 71, §763.16]

763.17 Conditions for release of defendant.

1. All bailable defendants shall be ordered released from custody pending judgment on their personal recognizance, or upon the execution of an unsecured appearance bond in an amount specified by the magistrate unless the magistrate determines, in the exercise of his discretion, that such a release will not reasonably assure the appearance of the defendant as required. When such determination is made, the magistrate shall, either in lieu of or in addition to the above methods of release, impose the first of the following conditions of release which will reasonably assure the appearance of the person for trial or, if no single condition gives that assurance, any combination of the following conditions:

a. Place the defendant in the custody of a designated person or organization agreeing to supervise him;

b. Place restrictions on the travel, association or place of abode of the defendant during the period of release;

c. Require the execution of an appearance bond in a specified amount and the deposit with the clerk of the court in cash or other qualified security of a sum not to exceed ten percent of the amount of the bond, such deposit to be returned to the defendant upon the performance of the appearances as required in section 766.1;

d. Require the execution of a bail bond with sufficient surety, or the deposit of cash in lieu thereof, provided that, except as provided in section 763.2, bail initially given shall remain valid until final disposition of the offense. If the amount of bail is deemed insufficient by the court before whom the offense is pending, the court may order an increase thereof and the defendant must provide the additional undertaking, written or cash, to secure his release.

e. Impose any other condition deemed reasonably necessary to assure appearances as required, including a condition requiring that the defendant return to custody after specified hours.

2. In determining which conditions of release will reasonably assure appearance, the magistrate shall, on the basis of available information, take into account the nature and circumstances of the offense charged, the defendant's family ties, employment, financial resources, character and mental condition, the length of his residence in the community, his record of convictions, and his record of appearance at court proceedings or of flight to avoid prosecution or failure to appear at court proceedings.

3. A magistrate authorizing the release of a defendant under this section shall issue a written order containing a statement of the conditions imposed, if any, shall inform the defendant of the penalties applicable to violation of the conditions of his release and shall advise him that a warrant for his arrest will be issued immediately upon such violation.

4. A defendant who remains in custody twenty-four hours after bail or other conditions of release are imposed by a magistrate not a district court judge as a result of his inability to fulfill the conditions of release imposed shall be brought forthwith before the magistrate who imposed the conditions and informed of the defendant's right to have said conditions reviewed. If the defendant indicates he desires such a review and is indigent

and unable to retain legal counsel, the magistrate shall appoint an attorney to represent the defendant for the purpose of such review. Unless the conditions of release are amended and the defendant is thereupon released, the magistrate shall set forth in writing the reasons for requiring conditions imposed. A defendant who is ordered released by a magistrate other than a district court judge on a condition which required that he return to custody after specified hours shall, upon application, be entitled to review by the magistrate who imposed the condition in the same manner as a defendant who remains in full-time custody. In the event that the magistrate who imposed conditions of release is not available, any other magistrate in the district may review such conditions.

5. A magistrate ordering the release of the defendant on any conditions specified in this section may at any time amend his order to impose additional or different conditions or release, provided that, if the imposition of different or additional conditions results in the detention of the defendant as a result of his inability to meet such conditions, the provisions of subsection 4 shall apply. [C51, §3216-3218; R60, §4967; C73, §4573; C97, §5500; C24, 27, 31, 35, 39, §13611; C46, 50, 54, 58, 62, 66, §763.3; C71, §763.17]

Referred to in §§763.18, 763.19

763.18 Appeal from conditions of release.

1. A defendant who is detained, or whose release on a condition requiring him to return to custody after specified hours is continued, after review of his application pursuant to section 763.17, subsections 4 or 5, by a magistrate, other than a judge of the district court having original jurisdiction over the offense with which he is charged, may move the district court having jurisdiction over the county in which the offense is pending to amend the order. Said motion shall be promptly set for hearing and a record made thereof.

2. In any case in which a court denied a motion under subsection 1 to amend an order imposing conditions of release, or a defendant is detained after conditions of release have been imposed or amended upon such a motion, an appeal may be taken to the supreme court. The appeal shall be determined summarily without briefs on the record made in the district court. However, the defendant may elect to file briefs and may be heard in oral argument, in which case the prosecution shall have a right to respond as in an ordinary

appeal from a criminal conviction. The supreme court may, on its own motion, order the parties to submit briefs and set the time in which such briefs shall be filed. Any order so appealed shall be affirmed if it is supported by the proceedings in the district court. If the order is not so supported the court may remand the case for a further hearing, or may, with or without additional evidence, order the defendant released pursuant to section 763.17 subsection 1. [C71, §763.18]

Referred to in §763.19

763.19 Failure to appear--penalty. Any defendant who, having been released pursuant to sections 763.17 and 763.18 willfully fails to appear before any court or magistrate as required shall, in addition to the forfeiture of any security given or pledged for his release, if he was released in connection with a charge which constitutes a felony, or while awaiting sentence or pending appeal after conviction of any public offense, shall be punished by imprisonment in the penitentiary not more than five years, or by fine not exceeding five thousand dollars. If the defendant was released before conviction or acquittal in connection with a charge which constitutes any public offense not a felony, he shall be punished by imprisonment in the county jail not more than one year, or by fine not exceeding one thousand dollars. [C71, §763.19]

CHAPTER 764
UNDERTAKINGS OF BAIL AS LIENS

764.1 When lien on real estate. 764.2 Attested copies filed in proper counties.

764.1 When lien on real estate. Undertakings of bail, immediately after filing by the clerk of the district court, shall be docketed and entered upon the lien index as required for judgments in civil cases, and, from the time of such entries, shall be liens upon real estate of the persons executing the same, with like effect as judgments in civil actions. [R60, §§5000, 5001; C73, §§4606, 4607; C97, §5513; C24, 27, 31, 35, 39, §13625; C46, 50, 54, 58, 62, 66, 71, §764.1]

Judgment docket and lien book, §606.7

764.2 Attested copies filed in proper counties. Attested copies of such undertakings may be filed in the office of the clerk of the district court of the county in which the real estate is situated, in the same manner and with like effect as attested copies of judgments, and shall be immediately docketed and indexed in the same manner. [R60, §5002; C73, §4608; C97, §5514; C24, 27, 31, 35, 39, §13626; C46, 50, 58, 62, 66, 71, §764.2]

Filing of attested copies, §624.24

CHAPTER 765
CASH BAIL

Referred to in §602.62

765.1 Deposit in lieu of bail.
765.2 Cash substituted for bail.
765.3 Bail substituted for cash.
765.4 Disposition of deposited money.

765.1 Deposit in lieu of bail. The defendant, at any time after an order admitting him to bail, instead of giving bail, may deposit with the clerk of the district court to which the undertaking is required to be sent, the sum mentioned in the order, and, upon delivering to the officer in whose custody he is, a certificate under seal from said clerk of the deposit, he must be discharged from custody. [C51, §3232; R60, §4983; C73, §4589; C97, §5524; C24, 27, 31, 35, 39, §13627; C46, 50, 54, 58, 62, 66, 71, §765.1]

SENATE FILE 26

AN ACT

RELATING TO SENTENCING IN CRIMINAL CASES; RELATING TO PROBATION AND THE CONDITIONS THEREOF; PROVIDING A PROCEDURE FOR RESTITUTION AS A CONDITION OF PROBATION; PROVIDING A PROCEDURE FOR DEFERRING JUDGMENT IN PARTICULAR CASES; RELATING TO THE CONDITIONS OF PAROLE; AND PROVIDING PROCEDURES NECESSARY THERETO.

BE IT ENACTED BY THE GENERAL ASSEMBLY OF THE STATE OF IOWA:

Section 1. NEW SECTION. DEFERRED JUDGMENT OR SUSPENDED SENTENCE--PROBATION. The trial court may, upon a plea of guilty, verdict of guilty, or a special verdict upon which a judgment of conviction may be rendered, exercise either of the options contained in subsections one (1) and two (2) of this section. However, this section shall not apply to the crimes of treason, murder, or violation of section two hundred four point four hundred one (204.401), subsection one (1) or two (2) of the Code, to which section two hundred four point four hundred nine (204.409), subsection two (2) of the Code is not applicable and which is not proved to be an accommodation offense under section two hundred four point four hundred ten (204.410) of the Code.

1. With the consent of the defendant, the court may defer judgment and place the defendant on probation upon such terms and conditions as it may require. Upon fulfillment of the terms of probation the defendant shall be discharged without entry of judgment. Upon violation of the terms, the court may enter an adjudication of guilt and proceed as otherwise provided.

However, this subsection shall not be available if any of the following is true:

a. The defendant attempted to kill anyone during the commission of the offense.

b. The defendant purposefully inflicted or attempted to

inflict a serious injury upon anyone during the commission of the offense. "Serious injury" means death, permanent disability or disfigurement, protracted loss or impairment of the function of any body member or organ, an injury requiring extended treatment or a prolonged healing period, a disabling mental illness requiring extended treatment or prolonged care, or an injury which at the time of deferment of judgment appears likely to result in any of the foregoing.

c. The defendant used, threatened to use or displayed in a threatening manner a dangerous weapon during the commission of the offense. "Dangerous weapon" means any instrument or device designed primarily for use in inflicting death or injury upon a human being or other living creature, and which is capable of inflicting death upon a human being when used in the manner for which it was designed. "Dangerous weapon" also includes any instrument or device of any sort whatsoever which is actually used in such a manner as to indicate that the defendant intends to inflict death or serious injury upon anyone and which, when so used, is capable of inflicting death upon a human being.

d. The defendant kidnaped any person for ransom during the commission of the offense.

e. During the commission of the offense the defendant committed rape or sodomy by force or threat of force, committed assault with intent to commit rape by force or threat of force, committed or attempted to commit rape of or sodomy with a child twelve years of age or under, or committed a violation of section seven hundred twenty-five point two (725.2) of the Code with respect to a child twelve years of age or under and which included any of the following: force or threat of force, fondling or touching the child in a lewd manner, or soliciting a sexual act with the child.

f. The defendant has been previously convicted of a felony. "Felony" means a conviction in a court of this or any other state or of the United States, of an offense classified as a felony by the law under which he was convicted at the time of his conviction.

g. Prior to the commission of the offense the defendant had been granted a deferred judgment or similar relief, two or more times anywhere in the United States.

h. Prior to the commission of the offense the defendant had been granted a deferred judgment or similar relief in a felony prosecution anywhere in the United States within the preceding five years, measured from the date of granting of deferment of judgment to the date of commission of the offense.

Any deferment of judgment under this subsection shall be promptly reported to the supreme court administrator who shall maintain a permanent record thereof including the name of the defendant, the district court docket number, the nature of the offense, and the date of the deferment. Before granting deferment in any case, the court shall request of the supreme court administrator a search of the deferred judgment docket and shall consider any prior record of a deferment of judgment against the defendant. The permanent record provided for in this subsection shall constitute a confidential record exempted from public access under section sixty-eight A point seven (68A.7) of the Code and shall be available only to justices of the supreme court, district judges, district associate judges, and judicial magistrates requesting information pursuant to this subsection.

2. By record entry at time of or after sentencing, the court may suspend the sentence and place the defendant on probation upon such terms and conditions as it may require.

Before exercising either of the options contained in subsections one (1) and two (2) of this section, the court shall first determine which of them will provide maximum opportunity for the rehabilitation of the defendant and protection of the community from further offenses by the defendant and others. In making this determination the court shall consider the age of the defendant, his prior record of commissions, if any, his employment circumstances, his family circumstances, the nature of the offense committed, whether a dangerous weapon or force was used in the commission

of such offense, and such other factors as shall be appropriate. The court shall file a specific written statement of its reasons for and the facts supporting its decision to defer judgment or to suspend sentence and its decision on the length of probation.

Section 2. NEW SECTION. LENGTH OF PROBATION. The length of the probation shall be for such term as the court may fix but not to exceed five years if the offense is a felony or not to exceed two years if the offense is a misdemeanor, unless the person is ordered placed under the supervision of the chief parole officer, in which case the term of probation shall be determined by the board of parole and the probation of the defendant shall be supervised by the chief parole officer.

The length of the probation shall not be less than one year and shall not be less than two years if the offense is a felony. However, the court may subsequently reduce the length of the probation if the court determines that the purposes of probation have been fulfilled, as provided in section six (6) of this Act.

In determining the length of the probation, the court shall first determine what period is most likely to provide maximum opportunity for the rehabilitation of the defendant, to allow enough time to determine whether or not rehabilitation has been successful, and to protect the community from further offenses by the defendant and others.

Section 3. NEW SECTION. PRESENTENCE INVESTIGATION. Upon a plea of guilty, verdict of guilty, or special verdict upon which a judgment of conviction of any public offense may be rendered, the court shall receive from the state and from the defendant any information which may be offered which is relevant to the question of sentencing. The court may consider information from other sources, and may, if the offense is a felony, order a presentence investigation to be made.

The court may withhold execution of any judgment or sentence for such time as shall be reasonably necessary for an

investigation with respect to deferment of judgment or suspension of sentence and probation. The investigation shall be made by a probation officer, by the agency in charge of parole agents, or by another appropriate agency, as determined by the court.

Section 4. NEW SECTION. PRESENTENCE INVESTIGATION AND REPORT. Whenever a presentence investigation is ordered by the court, the investigator shall promptly inquire into the defendant's characteristics, family and financial circumstances, needs, and potentialities; his criminal record and social history; the circumstances of the offense; the time the defendant has been in detention; and the harm to the victim, his immediate family, and the community. All local and state mental and correctional institutions, courts, and police agencies shall furnish to the investigator on request the defendant's criminal record and other relevant information. With the approval of the court, a physical examination of the defendant may be ordered, or the defendant may be committed to a psychiatric facility for an evaluation of his personality and mental health. The results of any such examination shall be included in the report of the investigator.

Section 5. NEW SECTION. REPORT CONFIDENTIAL. The court may, in its discretion, make the presentence investigation report or parts of it available to the defendant, or the court may make the report or parts of it available while concealing the identity of the person who provided confidential information. The report of any medical examination or psychiatric evaluation shall be made available to the attorney for the state and to the defendant upon request. Such reports shall be part of the record but shall be sealed and opened only on order of the court. In any case where the defendant is committed to the custody of the department of social services, a copy of the presentence investigation report shall be sent to the department at the time of commitment.

Section 6. NEW SECTION. DISCHARGE FROM PROBATION. At any time that the court determines that the purposes of probation have been fulfilled, the court may order the discharge of

any person from probation. At the expiration of the period of probation, in cases where the court fixes the term of probation, the court shall order the discharge of such person from probation, and the court shall forward to the governor a recommendation for or against restoration of citizenship rights to such person. A person who has been discharged from probation shall no longer be held to answer for his offense. Upon discharge from probation, if judgment has been deferred under section one (1) of this Act, the court's criminal record with reference to the deferred judgment shall be expunged. The record maintained by the supreme court administrator required by section one (1) of this Act shall not be expunged. The court's record shall never be expunged in any other circumstances except as provided in section six hundred two point fifteen (602.15) of the Code.

Section 7. NEW SECTION. CUSTODY OF COURT PROBATIONER--RECORD TO CHIEF PAROLE OFFICER. When probation is granted under section one (1) of this Act, the court shall order said person committed to the custody, care, and supervision:

1. Of any suitable resident of this state; or

2. Of the chief parole officer. The chief parole officer shall not, however, accept the custody, care and supervision of any person granted probation from a sentence to a term in a county jail or any other person who in the judgment of the chief parole officer could not be properly supervised.

In each case wherein the court shall order said person committed to the custody, care, and supervision of the chief parole officer, the clerk of the district court shall at once furnish the chief parole officer with certified copies of the indictment or information, the minutes of testimony attached thereto, the judgment entry if judgment is not deferred, and the original mittimus. The county attorney shall at once advise the chief parole officer, by letter, that the defendant has been placed under the chief parole officer's supervision and give to the chief parole officer a detailed statement of the facts and circumstances surrounding the crime committed and the record and history of the defendant as may

be known to him. If the defendant is confined in the county jail at the time of sentence, the court may order him held until arrangements are made by the chief parole officer for his employment and he has signed the necessary probation papers. If the defendant is not confined in the county jail at the time of sentence, the court may order him to remain in the county wherein he has been convicted and sentenced and report to the sheriff as to his whereabouts.

Section 8. NEW SECTION. RESTITUTION.

1. As used in this section, unless the context otherwise requires:

a. "Victim" means any person who has suffered pecuniary damages as a result of the defendant's criminal activities. However, with respect to any part of a victim's pecuniary damages paid by an insurer, the insurer shall be regarded as the victim only if the insurer has no right of subrogation and the insured has no duty to pay the proceeds of restitution to the insurer.

b. "Pecuniary damages" means all damages which a victim could recover against the defendant in a civil action arising out of the same facts or event, except punitive damages and damages for pain, suffering, mental anguish, and loss of consortium. Without limitation, "pecuniary damages" includes damages for wrongful death.

c. "Criminal activities" includes any crime for which there is a plea of guilty, verdict of guilty, or special verdict upon which a judgment of conviction may be rendered and any other crime committed after July 1, 1972 which is admitted or not contested by the defendant, whether or not prosecuted. However, "criminal activities" does not include misdemeanors under chapter three hundred twenty-one (321) of the Code.

d. "Restitution" means full or partial payment of pecuniary damages as a victim.

2. It is the policy of this state that restitution be made by each violator of the criminal laws to the victims of his criminal activities to the extent that the violator

is reasonably able to do so. This section shall be interpreted and administered to effectuate this policy.

3. If the trial court exercises either of the sentencing options under section one (1) of this Act, the court shall require as a condition of probation that the defendant, in cooperation with the probation officer assigned to the defendant, promptly prepare a plan of restitution, including a specific amount of restitution to each victim and a schedule of restitution payments. If the defendant is presently unable to make any restitution but there is a reasonable possibility that the defendant may be able to do so at some time during his probation period, the plan of restitution shall also state the conditions under which or the event after which the defendant will make restitution. If the defendant believes that he will not be able to make any restitution, he shall so state and shall specify the reasons. If the defendant believes that no person suffered pecuniary damages as a result of the defendant's criminal activities, he shall so state.

4. The defendant's plan of restitution and the comments of his probation officer shall be submitted promptly to the court. The court shall promptly enter an order approving the plan or modifying it and providing for restitution payments to the extent that the defendant is or may become reasonably able to make restitution, taking into account the factors enumerated in subsection five (5) of this section. Compliance with the plan of restitution as approved or modified by the court shall be a condition of the defendant's probation. Restitution payments shall be made to the clerk unless otherwise directed by the court. The court thereafter may modify the plan at any time upon the defendant's request or upon the court's own motion. If the plan as approved or modified does not require full payment of pecuniary damages to all victims, or if the court determines that the defendant is not able and will not be able to make any restitution at any time during his probation period or that no person suffered pecuniary damages as a result of the defendant's criminal activities, the court shall file a specific written

statement of its reasons for and the facts supporting its action or determination.

5. The probation officer when assisting the defendant in preparing the plan of restitution, and the court before approving or modifying the plan of restitution, shall consider the physical and mental health and condition of the defendant, his age, his education, his employment circumstances, his potential for employment and vocational training, his family circumstances, his financial condition, the number of victims, the pecuniary damages of each victim, what plan of restitution will most effectively aid the rehabilitation of the defendant, and such other factors as shall be appropriate. The probation officer shall attempt to determine the name and address of each victim and the amount of his pecuniary damages.

6. The clerk shall mail to each known victim a copy of the court's order approving or modifying the plan of restitution, including the court's statement, if any, under subsection four (4) of this section.

7. At any time during the probation period the defendant may request and the court shall grant a hearing on any matter related to the plan of restitution.

8. Failure of the defendant to comply with subsection three (3) of this section or to comply with the plan of restitution as approved or modified by the court shall constitute a violation of the conditions of probation. Without limitation, the court may modify the plan of restitution or extend the period of time for restitution, but not beyond the maximum probation period specified in section two (2) of this Act.

9. This section and proceedings under this section shall not limit or impair the rights of victims to sue and recover damages from the defendant in a civil action. However, any restitution payment by the defendant to a victim shall be set off against any judgment in favor of the victim in a civil action arising out of the same facts or event. The fact that restitution was required or made shall not be admissible as evidence in a civil action unless offered by such defendant.

Section 9. Section two hundred forty-seven point six (247.6), Code 1973, is amended by adding the following new unnumbered paragraph:

NEW UNNUMBERED PARAGRAPH. The rules and conditions of parole may require that restitution be made by the parolee to the victims who suffered pecuniary damages as a result of the parolee's criminal activities. Words defined in section eight (8) of this Act shall have the same meaning in this paragraph.

Section 10. Section three hundred twenty-one point two hundred eighteen (321.218), Code 1973, is amended to read as follows:

321.218 DRIVING WHILE LICENSE DENIED, SUSPENDED, OR REVOKED. Any person whose operator's or chauffeur's license, or driving privilege, has been denied, canceled, suspended or revoked as provided in this chapter, and who drives any motor vehicle upon the highways of this state while such license or privilege is denied, canceled, suspended, or revoked, is guilty of a misdemeanor and upon conviction shall be punished by imprisonment for not less than two days or more than thirty days. The sentence imposed under this section shall not be suspended by the court, notwithstanding the provisions of section one (1) of this Act or any other provision of statute. The department, upon receiving the record of the conviction of any person under this section upon a charge of driving a motor vehicle while the license of such person was suspended or revoked, shall extend the period of suspension or revocation for an additional like period, and the department shall not issue a new license during such additional period.

Section 11. Section six hundred two point fifteen (602.15), Code 1973, is amended to read as follows:

602.15 AMENDING OR EXPUNGING ENTRY. The record of any court proceedings is under the control of the court and, except as provided in section six (6) of this Act, may be amended or any entry therein expunged before it has been signed by the judge or within sixty days thereafter.

Section 12. Section seven hundred eighty-nine point two (789.2), Code 1973, is amended to read as follows:

789.2 JUDGMENT OF CONVICTION--TIME FOR. Upon a plea of guilty, verdict of guilty, or a special verdict upon which a judgment of conviction may be rendered, the court must fix a time for pronouncing judgment, which must be within a reasonable time but not less than eight days after the plea is entered or the verdict is rendered, unless the defendant consents thereto.

Section 13. Section seven hundred eighty-nine point eleven (789.11), Code 1973, is amended to read as follows:

789.11 JUDGMENT ENTERED. If judgment is not deferred, and no sufficient cause is shown why judgment should not be pronounced, and none appears to the court upon the record, judgment shall be rendered. In every case in which judgment is entered, the court shall include in the judgment entry the number of the particular section of the Code under which the defendant is sentenced.

Section 14. PROSECUTIONS PROHIBITED. The action of any court in deferring judgment or conviction in a criminal case prior to the effective date of this Act is valid. No person previously prosecuted shall be tried, sentenced, or convicted based on the same facts as in a prior prosecution on the grounds that a sentence, conviction, or judgment as a result of that prosecution was deferred, and the deferment was later declared by the supreme court of this state to be unauthorized by law. This section shall not apply to any case in which an appeal was pending on June 1, 1973.

Section 15. This section shall take effect July 1, 1974. Section three (3) of this Act is amended to read as follows:

PRESENTENCE INVESTIGATION. Upon a plea of guilty, verdict of guilty, or special verdict upon which a judgment of conviction of any public offense may be rendered, the court shall receive from the state and from the defendant any information which may be offered which is relevant to the question of sentencing. The court may consider information from other sources, and shall, if the offense is a felony, order a

presentence investigation to be made.

The court may withhold execution of any judgment or sentence for such time as shall be reasonably necessary for an investigation with respect to deferment of judgment or suspension of sentence and probation. The investigation shall be made by a probation officer, by the agency in charge of parole agents, or by another appropriate agency, as determined by the court.

Section 15. Sections two hundred forty-seven point twenty (247.20) and two hundred forty-seven point twenty-one (247.21), Code 1973, are repealed.

ARTHUR A. NEU
President of the Senate

ANDREW VARLEY
Speaker of the House

I hereby certify that this bill originated in the Senate and is known as Senate File 26, Sixty-fifth General Assembly.

RALPH R. BROWN
Secretary of the Senate

Approved _____, 1973

ROBERT D. RAY
Governor

SENATE FILE 482

AN ACT

RELATING TO THE ESTABLISHMENT OF COMMUNITY-BASED CORRECTIONAL PROGRAMS AND SERVICES.

BE IT ENACTED BY THE GENERAL ASSEMBLY OF THE STATE OF IOWA:

Section 1. Chapter two hundred seventeen (217), Code 173, is amended by adding thereto sections two (2) through six (6) of this Act.

Sec. 2. NEW SECTION. As used in this Act, unless the context otherwise requires:

"Community-based correctional programs and services" means locally administered correctional programs and services designed to rehabilitate persons charged with or convicted of a felony or indictable misdemeanor and persons on parole or probation as a result of a sentence for or conviction of these offenses.

Sec. 3. NEW SECTION. Community-based correctional programs and services may be established to serve the judicial districts of the state.

Sec. 4. NEW SECTION. The department of social services shall provide assistance, support and guidelines for the establishment and operation of community-based correctional programs and services.

Sec. 5. NEW SECTION. The department of social services shall provide for the allocation of any state funds appropriated for the establishment, operation, maintenance, support and evaluation of community-based correctional programs and services. State funds shall not be allocated unless the department has reviewed and approved the programs and services for compliance with state guidelines.

If community-based correctional programs and services are not established in a judicial district, or if established are designed to serve only part of the judicial district, the department of social services may provide community-based correctional programs and services for the judicial district or the parts of the judicial district not served by an established program.

Sec. 6. NEW SECTION. The guidelines established by the department of social services shall include, but not necessarily be limited to:

1. Providing for the utilization of existing facilities with a minimum of capital expenditures for acquisition, renovation and repair.

2. Providing for the maximum utilization of existing local rehabilitative resources, such as, but not limited to: employment; job training; general,

special, and remedial education; psychiatric and marriage counseling; alcohol and drug abuse treatment.

3. Providing for pretrial release, presentence investigation, probation and parole services and residential treatment centers.

4. Providing for locating community-based correctional programs and services in or near municipalities providing a substantial number of rehabilitation resources.

5. Providing for practices and procedures which maximize the availability of federal funding.

6. Providing for gathering and evaluating performance data.

Sec. 7. Section two hundred forty-seven point twenty-one (247.21), subsection two (2), unnumbered paragraph one (1), Code 1973, is amended to read as follows:

Of the chief parole officer. The chief parole officer ~~shall not, however,~~ may also accept the custody, care and supervision of any person granted probation or parole from a sentence to a term in a county jail ~~or~~. Jurisdiction of these persons shall remain with the sentencing court. The chief parole officer shall not, however, accept the custody, care and supervision of any ~~other~~ person who in ~~the~~ his judgment ~~of the chief parole officer~~ could not be properly supervised.

Sec. 8. Rules and guidelines issued pursuant to the authority granted in this Act shall be confined to programs and services authorized by this Act and supported by state funds. Notwithstanding any other provisions of the Code, any rules, regulations or guidelines issued under provisions of this Act shall be subject to approval by the departmental rules review committee and the attorney general.

ARTHUR A. NEU
President of the Senate

ANDREW VARLEY
Speaker of the House

I hereby certify that this bill originated in the Senate and is known as Senate File 482, Sixty-fifth General Assembly.

RALPH R. BROWN
Secretary of the Senate

Approved _____, 1973

ROBERT D. RAY
Governor

LEGIS 4
SENATE FILE 511

AN ACT

TO APPROPRIATE FUNDS FROM THE GENERAL FUND OF THE STATE FOR ESTABLISHING COMMUNITY-BASED CORRECTIONAL PROGRAMS AND SERVICES.

BE IT ENACTED BY THE GENERAL ASSEMBLY OF THE STATE OF IOWA:

Section 1. There is appropriated from the general fund of the state for the biennium beginning July 1, 1973 and ending June 30, 1975, to the department of social services the following amounts, or so much thereof as may be necessary, to provide assistance in the establishment and operation of community-based correctional programs and services:

1973-74 Fiscal Year	1974-75 Fiscal Year
$350,000	$500,000

Sec. 2. Before any of the funds appropriated by this Act shall be expended, it shall be determined by the department of social services that the expenditure shall be pursuant to provisions of law providing for the establishment of community-based correctional programs and services.

Sec. 3. The department of social services, the governor, and the state comptroller may obtain federal funds for the state to be used in connection with the funds appropriated by this Act.

Sec. 4. Any unencumbered balance of the funds appropriated by this Act remaining as of June 30, 1975 shall revert to the general fund of the state as of June 30, 1975.

ARTHUR A. NEU
President of the Senate

ANDREW VARLEY
Speaker of the House

I hereby certify that this bill originated in the Senate and is known as Senate File 511, Sixty-Fifth General Assembly.

RALPH R. BROWN
Secretary of the Senate

Approved _____, 1973

ROBERT D. RAY
Governor

LEGISLATION AUTHORIZING A DES MOINES-TYPE FACILITY

CHAPTER 356A
COUNTY DETENTION FACILITY

356A.1 County supervisors may act.
356A.2 Contract.
356A.3 Alternative confinement of prisoners.
356A.4 Work release.
356A.5 Calender kept.
356A.6 Transfer.
356A.7 Contract with another county.

356A.1 County supervisors may act. A county board of supervisors may, by majority vote, establish and maintain by lease, purchase, or contract with a public or private nonprofit agency or corporation to establish and maintain, facilities where persons may be detained or confined pursuant to a court order as provided in section 356.1. Such facilities may be in lieu of or in addition to the jail required in section 356.37. The board shall establish rules and regulations for the operation of each such facility. Any person detained or confined to such a facility shall be required to do all cleaning, upkeep, maintenance, minor repairs, and anything else necessary to properly maintain, operate, and preserve such facility. The sheriff shall not have charge or custody of any person detained or confined in such facility or transferred thereto. Such facility need not contain any cells, cell blocks, or bars, if it is not necessary for the protection of the public, as determined by the board. [64GA, ch 204, §1]

Referred to in §356A.3

356A.2 Contract. If the board of supervisors contract with a public or private nonprofit agency or corporation for the establishment and maintenance of such a facility, the contract shall state the charge per person per day to be paid by the county; that each such facility shall insure the performance of the duties of the keeper as defined in section 365.5; the activities and service to be provided those detained or confined; the extent of security to be provided in the best interests of the community; the maximum number of persons that can be detained or committed at any one time; the number of employees to be provided by the contracting private nonprofit agency or corporation for the maintenance, supervision, control, and security of persons detained or confined therein; and any other matters deemed necessary by the supervisors. All such contracts shall

be for a period not to exceed two years. The board of supervisors shall deliver a copy of the contract to each municipal court judge in the county and to each district court judge of the district which includes that county. [64GA, ch 204, §2]

Referred to In §356A.3

356A.3 Alternative confinement of prisoners. Any municipal or district court judge may sentence and commit a person to a facility established and maintained pursuant to section 356A.1 or 356A.2 instead of the county jail. A district court judge may order the transfer of a person sentenced and committed to the county jail to such a facility upon his own motion, the motion of the sentenced and committed person, or the motion of the sheriff. The transfer to the facility shall set forth the terms and conditions of the detention or commitment; that the detained or committed person shall abide by the terms and conditions of this chapter and the rules and regulations of the facility to which committed or transferred. The order shall be read to the detained, committed or transferred person in open court. The committing court or district court judge may order any person who has been detained, committed, or transferred to such a facility to be transferred to the county jail if, upon hearing, the court determines such person has been refractory, disorderly, has willfully destroyed or injured any property in the facility, or has violated any of the terms and conditions of the order of detention, commitment, or transfer or the provisions of this chapter or the rules and regulations of the facility wherein he was detained or committed. Any violations of the order of detention, commitment, or transfer shall further be punished as contempt of court pursuant to chapter 665. The provisions of chapter 745 shall be applicable to any person detained, committed, or transferred to a facility established and maintained pursuant to this chapter. The county or city to which the cause originally belonged shall be liable for the expense of the original detention, commitment, or transfer and the subsequent expenses of maintaining such person in the facility. The county's expense shall be levied and paid out of the court expense fund pursuant to section 444.10. [64GA, ch 204, §3]

356A.4 Work release. A person detained, committed, or transferred to a facility established and maintained pursuant to sections 356A.1 or 356A.2, may further be released from such facility during necessary and reasonable hours, by court order, for the purposes stated in section 356.26. Such release and any wages earned shall be governed by the provisions of sections 356.27 through 356.36, inclusive, except that during such time the released person shall not be in the legal custody of the sheriff; any wages earned shall be collected, managed, and dispensed by the person in charge of the facility and not the sheriff; and any wages earned shall first be applied to the reasonable cost of housing such person in the facility. [64GA, ch 204, §4]

356A.5 Calendar kept. Any person sentenced, detained, committed, or transferred to a facility established and maintained pursuant to section 356A.1 or 356A.2 shall be discharged therefrom upon completion of their original term of detention or commitment. The person in charge of such facility shall keep a calendar as required in section 356.6 and return a copy of the calendar as required by section 356.7. [64GA, ch 204, §5]

356A.6 Transfer. A judge of the municipal or district court may originally commit a person to the county jail to serve any part of the sentence pronounced and thereafter be transferred to a facility established and maintained pursuant to section 356A.1 or 356A.2. [64GA, ch 204, §6]

356A.7 Contract with another county. A county board of supervisors may further contract with another county or a city maintaining a jail meeting the requirements of sections 356.37 to 356.41, inclusive, for detention and commitment of persons pursuant to section 356.1. Any person detained or confined therein shall be in charge of and in the custody of the governmental unit maintaining the jail. The cost of detention and confinement shall be levied and paid by the city or from the court expense fund of the county to which the cause originally belonged pursuant to section 441.10. [64GA, ch 204, §7]

EXEMPLARY PROJECT: THE DES MOINES PROJECT -- COORDINATING COMMUNITY CORRECTIONS

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	Highly Useful	Of Some Use	Not Useful
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